TOWARDS A GENERIC THEORY OF MANAGERIAL AND LEADERSHIP EFFECTIVENESS

A META-LEVEL ANALYSIS FROM ORGANISATIONS IN THE UK PUBLIC SECTOR

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THESIS
Towards a Generic Theory of Managerial and Leadership Effectiveness
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ABSTRACT

The management literature on managerial and leadership effectiveness reveals that researchers tend to be divided into two broad camps. There are those who take a 'contingency' approach arguing that the criteria that constitute management/leadership effectiveness are context-dependent, situation-specific and perspective-specific; and there are those who take a more 'universalistic' approach, arguing that the logic suggesting the existence of generic criteria of managerial and leadership effectiveness is compelling, even though there is only sparse empirical evidence to support this view.

The present study contributes to this debate by assembling evidence derived from the meta-level analyses of findings from three previous factor analytic empirical studies of managerial effectiveness carried out in three different UK public sector organisations that were focused on the observed managerial behaviour of middle and front line managers. The main aim has been to reveal the internal generalisability of the managerial/leadership effectiveness criteria identified by each study, and the extent of their external generalisability across all three studies and to equivalent managerial/leadership effectiveness studies carried out by other UK researchers.

The meta-analyses have revealed high levels of congruence between the perceptions and judgments of managers themselves and their subordinates, and their superiors. The results suggest the vast majority of criteria are highly generalised across different levels of management and staff. Furthermore, very high levels of sameness, similarity, coincidence and congruence of meaning exist between the criteria obtained from all three studies at both the factorial (job dimension) and behavioural levels. The criteria are found to be strongly generalised not only to each of the three case study organisations, but also to specific criteria of leadership effectiveness identified in other UK public sector organisations.

These findings challenge the 'contingency' approaches to managerial and leadership effectiveness, and provide strong empirical support to those who believe in the existence of generic effectiveness criteria and the notion of the universally effective manager/leader. Furthermore, they have resulted in the creation of an original generic model of managerial and leadership effectiveness that provides a strong empirical base and relevant beginnings for the development of a general theory of effective management and leadership.

Examples of the practical application of the research findings from two of the empirical studies are described and discussed in terms of their distinctive and original contribution to HRD practice, and to the advancement of Mode 2 Knowledge (M2K) in this field.

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SECTION 1: INTRODUCTION

1.1 Focus of the PhD study

This PhD by Published Work thesis brings together into one coherent body of work the results of a progressive journey of empirical research comprising three empirical studies concerned with identifying the criteria of managerial effectiveness within three different types of public sector organisations. Furthermore, it builds on these previous studies by presenting the results of several meta-level analyses. These were designed to identify and reveal not only the internal generalisability of the findings within each of the organisational settings, but also their external generalisability across all three organisations, and to other organisations within the UK Public Sector. The ultimate aim has been to provide the empirical beginnings of a universalistic model of managerial/leadership effectiveness, and the formulation of a generic theory to challenge the contingent approaches that currently dominate management and leadership thinking and research.

1.2 Overview of the journey of research previously carried out by the author

The earliest study took place from 1984 to 1987. It led to the writer being awarded an MPhil degree by the Council of National Academic Awards through The Polytechnic of Wolverhampton now designated the University of Wolverhampton. The research was focused towards identifying the criteria of managerial effectiveness within UK Secondary Schools, specifically at the Head of Department level. The work culminated with the MPhil thesis itself being published in its entirety within CORE: Collected Original Resources in Education: the International Journal in Microfiche (Hamlin 1988). The research design for this study was also used with some refinements for the two subsequent studies. The findings from these two later studies provide the main empirical evidence for this PhD thesis. From the MPhil findings two articles were produced. One was published in Educational Management and Administration (Hamlin 1990) and the other in Leadership and Organization Development Journal (Hamlin and Stewart 1990). Although somewhat dated, these two articles have been included as 'foundation publications' to the portfolio of single and jointly authored publications comprising Part II, Section 1 of this PhD by Published Work thesis, for two reasons. Firstly to provide readers with sufficient underpinning knowledge and understanding of the foundations upon which the two subsequent empirical studies were built, and secondly to enable a wider body of relevant empirical research evidence being used to demonstrate the generalisability of the respective sets of research findings.

The first of the two post MPhil studies took place within the Anglia Region Executive Unit of HM Customs and Excise (HMCE) which is a major Department of the British Civil Service. It focused specifically on identifying the criteria of managerial effectiveness, but was part of an internal research project aimed at informing and shaping planned human resource development (HRD) interventions to bring about strategic cultural change. The study took place from 1995 to 1997 within the framework of a research partnership arrangement which, in hindsight, has since been recognised as an 'HRD Professional Partnership' of the kind advocated by Jacobs (1997). In such partnerships the respective professional partners accept that both the HRD scholars and HRD practitioners entering the arrangement do so with their own respective goals. Although these goals may differ they complement each other. Maintaining the integrity of these goals for the common good is regarded as crucially important. Thus there is a dual goal to advance the HRD field of knowledge as well as improve the organisation through the application of the research findings. In the case of the Anglia study there were two HRD scholars in the research partnership, namely the author, and Jim Stewart of Nottingham Trent University. The Executive Head of the Anglia Region Executive Unit, Dick Shepherd, and his Research Officer/Internal OD Consultant, Margaret Reidy, were the HRD practitioners.

Arising from the Anglia research, five conference papers were produced and presented at various conferences. These included the 1996 Annual Conference on the Strategic Direction of HRM: Nottingham Trent University, Nottingham (Hamlin and Reidy 1996), the BPS 1997 Annual Conference, Heriot-Watt University, Edinburgh. (Hamlin, Reidy and Stewart 1997b), the 1997 Occupational Psychology Conference, Heriot Watt University, Edinburgh (Reidy and Hamlin 1997), the Lancaster-Leeds Collaborative Conference: Emergent Fields in Management-Connecting Learning and Critique, Leeds University, Leeds (Hamlin and Stewart 1998), and the 27th IFTDO

World Conference: Revitalising HRD for the New Millennium, Trinity College, Dublin, Ireland (Hamlin, Reidy and Priddey 1998). A number of journal articles were also written and accepted for publication in a range of academic and practitioner focused peer reviewed journals. These included 'Strategic Change' (Hamlin and Reidy 1997), the 'Journal of Applied Management Studies' (Hamlin, Reidy and Stewart 1997), 'Human Resource Development International' (Hamlin, Reidy and Stewart 1998), and 'Management Development Forum' published by the Empire State College of the State University of New York (Hamlin, Reidy and Stewart 1999).

The second of the post MPhil studies took place from early 1999 through to April 2001. It was carried out in a local NHS Trust hospital as a programme of partnership research within an HRD Professional Partnership arrangement. This partnership was set up between the author, acting in the role of HRD scholar, and the then Personnel Director of the NHS Trust hospital who was the principal HRD practitioner. A University of Wolverhampton Business School research assistant provided support, together with one of the NHS Trust personnel officers who reported directly to the Personnel Director. Initially two conference papers were produced based on the early findings when the study was about two thirds complete. The first was presented at the UFHRD Second International Conference on HRD Research Across Europe held at the University of Twente, Enschede, the Netherlands (Hamlin 2001a). The second paper was produced specifically for presentation at the Chartered Institute of Personnel and Development (CIPD) Professional Standards Conference (July 2001) at the University of Keele (Hamlin 2001b). The latter was one of four papers selected from a national field of submissions. The 'Twente' paper was peer reviewed prior to acceptance, and subsequently selected from the full array of conference contributions for inclusion in a Special Issue of IJHRDM (Hamlin 2002a). Since that time two other peer reviewed articles based on the end result findings of the completed NHS Trust study have been produced and accepted for publication, one in Human Resource Development International (Hamlin 2002b), and the other in Health Services Management Research (2002c).

Overall the outcomes from the three studies have provided a rich source of empirical data that has progressively informed and shaped the thinking of the author as reflected in his many writings on the theory and practice of HRD. Besides the refereed journal articles that provide the core empirical base for this thesis, his published works include WBS Working Papers (see Hamlin, Reidy and Stewart 1997c; Hamlin, 2001e), and various chapter contributions to a range of academic and practitioner focused textbooks (see Hamlin, 1992, 1999, 2001c, 2001d, 2002d; Hamlin and Davies 1996; Hamlin, Keep and Ash 2001). Furthermore, the studies represent a significant proportion of the known research on managerial/leadership behavioural competencies and criteria of managerial/leadership effectiveness to be found in the British management literature. At the time his MPhil study was being completed the only comparable UK research the author could find was that of Bennett and Langford (1980). Since that time relatively few studies of managerial effectiveness have been published in the UK other than those of Flanagan (1990), Alimo-Metcalfe (1998), Alban-Metcalfe and Alimo-Metcalfe (2000), Alimo-Metcalfe and Alban-Metcalfe (2000, 2001), and Gaughan (2001).

SECTION 2: THEORETICAL CONTEXT AND RESEARCH AIMS

2.1 Locating the present study into a relevant literature base

The study sets out to address a number of significant gaps in the body of knowledge relating to the current understanding of management and leadership. It also addresses a number of identified shortcomings, weaknesses and omissions in the research methodology and methods predominantly used by most researchers operating in this field, as outlined in the following sub-sections.

2.1.1 Calls for research into the issue of managerial effectiveness

Over the past 40 years or so a substantial amount of research has been conducted into the nature of management work. Most has been carried out in America, though some in the UK, the Netherlands, Australia, New Zealand and Japan. By far the largest amount has been focused on identifying what managers do in terms of the activities performed and the behaviours exhibited. However, as Luthans, Rosencrantz and Hennessey (1985, p.255) note, the management literature has "largely been based on a priori assumptions about what managers actually do and what they should do to be successful, and only recently have these assumptions and normative prescriptions been challenged". Furthermore, the issue of managerial effectiveness has received little attention, and there is little agreement about what constitutes managerial effectiveness. Luthans, Welsh and Taylor (1988, p.148) claim that "effectiveness, whether it is organisation or manager specific, is universally accepted as a major goal for modern management, but unfortunately there is a lack of consensus and considerable disagreement on what is meant by effectiveness". They point out that how it is defined and measured "largely depends on the theoretical orientation of the researcher", and that

> "with few exceptions, traditional models of effectiveness in the organisation and management literature have focused on conceptual variables such as structure and technology. A descriptive model that examines the relationship between effectiveness and day to day managerial activities *and behaviours* has been ignored" (Luthans, Welsh and Taylor 1988, p.149).

However, as Cammock, Nilakant and Dakin (1995) observe, the relationship between what managers do and what they achieve in terms of measures of effectiveness has been explored by a relatively sparse stream of research. Willcocks (1992) claims the topic of managerial effectiveness has been neglected in comparison to the literature relating to role and function. For example, he states that a large body of work has been published on managerial behaviour and role without specific reference to whether such behaviour or role performance is really effective. Willcocks (1997, p.181) also argues that the study of managerial effectiveness should be central to any organization, but claims that although the topic has been actively pursued by management researchers for many years " there is still no real agreement about what it is and how to develop it". In his view the situation appears to remain much the same as when Bennett and Brodie (1979) and Hales (1986) published their respective reviews of the managerial effectiveness literature. As they revealed, there appear to be many differences of view about what constitutes effective management. In the words of Hales (1986, p.89), "some of the more celebrated writings on effective management are singularly reticent about specifying what effective managers are effective at". Hales also points out that a major weakness of the accumulated research evidence on what do managers do is the 'un-situated' character of the managerial behaviour documented. Most studies do not give much of an answer to the question of whether the managerial practice identified is 'good' or 'bad' management. This is because they fail to provide empirically based standards against which to judge and compare the described managerial behaviours.

From an American perspective, Martinko and Gardner (1985, p688) observe that a major conceptual limitation of most managerial behaviour research has been the failure of researchers to use designs that differentiate between highly effective versus less effective managers. Furthermore, "unfortunately very few have focused on this aspect of structured observations" or "gone through the process of developing their own structured observation categories, and even fewer have explained the process". In a later publication Martinko and Gardner (1990, p.353) go on to claim that there remains many inadequacies regarding knowledge of managerial behaviour, for there is "still very little information which identifies the behaviors which are most closely associated with effective performance. Clearly more attention needs to be devoted to investigating this key issue". In the UK Stewart (1989, p 2) has also highlighted the difficulty of ascertaining which of the behaviours described in various structured observation studies, if any, are critical for effective (*managerial*) performance, and has "deplored the lack of attention to effectiveness".

Although attempts to link management behaviour with measures of effectiveness were made in the early critical incident and observation studies conducted in the 1950s by, for example, Flanagan (1951, 1952), Guest (1956), Jasinski (1956), Ponder (1957), and Kay (1959), and although all of these studies found differences between the behaviour of effective and less effective supervisors (see Cammock, Nilakant and Dakin 1995), various methodological shortcomings have cast serious doubts on the validity of some of these findings (see Martinko and Gardner 1985). It was not until the 1980s and early 1990s that the issue of effectiveness again received serious attention by researchers such as Latham, Fay and Saari (1979), Morse and Wagner (1978), Luthans Welsh and Taylor (1988), and Martinko and Gardner (1990). But as Cammock, Nilakant and Dakin (1995, p.444) observe, these studies "are but a small beginning in an area which, at the point of writing, continues to be substantially neglected".

2.1.2 Calls for research into leadership effectiveness

Similarly there have been few studies exploring the link between leadership behaviours and leadership effectiveness within organisations. Barker (2000, p.292), who has studied effective leadership within hospice settings, draws attention to the fact that "articles abound on leadership, however few evaluate the impact of leadership and its effectiveness within the organisation". Interestingly, she observes that leadership is usually categorised in modern texts as either transformational or transactional, and that modern theorists refer to management as leadership, though calling it transactional leadership. Bass and Avolio (1993) claim that the best leaders in fact display both transformational and transactional leadership, while Avolio and Bass (1995) suggest transformational leadership should be observed at all levels of the management hierarchy, not just at top management level. Furthermore, other researchers and writers such as Russ-Eft et al. (1996), and Bergmann, Hurson and Russ-Eft (1999), have clearly demonstrated that leadership is an integral part of the task of the manager at all levels of the organisational hierarchy. Alvesson (2002, p.101) argues that leadership is not something confined to what top management do. Rather, he observes that "it is possible, however, that most managers having a personal and non-coercive influence beyond pure management are mixing elements of management and leadership, and that the latter element is far from unconstrained by formal position and bureaucratic constraints but typically intertwined with management". Furthermore, he claims managers "affect thinking and feeling in connection with specific tasks and goals (*to be performed and achieved by other people*), thus making leadership and management difficult to differentiate in practice. This view allows the combination of the two elements which I believe we can find in the activities of most (contemporary) managers and organisations". In light of the views of these various expert commentators, the author has deemed it wholly appropriate to locate the present PhD study not only within the literature relating to managerial effectiveness, but also within that part of the management literature concerned specifically with the issue of leader behaviour and leadership effectiveness.

2.1.3 Criticisms of the predominant positive survey-based approaches to leadership research

One of the major criticisms of leadership research is the positivist methodology that has been predominantly deployed by most researchers over the past 40 years or so. After literally thousands of studies in the field Yukl (1994, p.19) claims we still as yet "have to develop a general theory of leadership that explains all aspects of the process adequately". Furthermore, Kim and Yukl (1995) draw attention to the fact that most studies have examined broad categories of task and relationship oriented behaviours. Mostly these have been based on the early supervisory behaviour description questionnaire scales (SBDQs) and leadership behaviour description questionnaire scales (LBDQs) that resulted from the early Ohio State Studies of Fleishman, Harris and Burtt (1955), Halpin (1957, 1966, 1969) and Schreisheim and Stogdill (1975). They refer to the fact that these behavioural categories are difficult to relate to the demands and challenges facing managers of today who operate in different situations, and that the actual number of studies of specific behaviour is still small.

Conger (1998) draws attention to major shortcomings of the quantitative research approaches and methods typically used in attempts to understand leadership. He notes that these have largely been survey-based focusing on a single level of analysis such as behavioural dimensions that overlook the influential role of group, organisational or environmental factors. Consequently, more often than not, they have measured attitudes about behaviour rather than actual observed behaviour and their effectiveness. As he argues, the descriptions used for survey-based leadership research have to be generalised across a variety of contexts. Therefore researchers tend to employ broad terms that are relatively 'sterile' in the sense that a useful richness of detail is often missing, and they end up measuring the "presence and frequency of static terms". Consequently, "survey-generated leadership descriptors fail to help us understand the deeper structures of leadership phenomena" (Conger 1998, p.109). This observation is supported by the observations of House and Aditya (1997) who point out that historically leadership research has been primarily concerned with generic leadership functions to the exclusion of specific behavioural manifestations of these functions. This means much of our understanding about leadership is not easily operationalised in practical settings. Similarly, Alvesson (2002, pp.95-97) complains about the bias towards abstract and thin studies which to date have dominated the enormous amount of leadership literature. He claims that "the academic work suffers from a heavily positivist bias, and favours laboratory experiments or questionnaire studies that almost per definition neglect the organisational cultural context of leadership". Alvesson concludes, "much richer accounts (*of leadership*) than those typically produced are needed".

2.1.4 Criticisms of the predominant positivist survey-based approaches to researching management behaviour and managerial effectiveness

Similar criticisms have been made regarding most management behaviour and managerial effectiveness studies carried out over the past 20 years or so. As with leadership research, these studies have typically deployed survey-based quantitative research methods. Martinko and Gardner (1990, p.353) argue that the predominant emphasis of research on "behavioral frequencies and the time consumed engaging in particular managerial behaviors is unnecessarily narrow", and that "future research should proceed along more qualitative avenues". Yukl, Wall and Lepsinger (1990) are highly critical of the type of questionnaires typically used for survey based managerial effectiveness research. As they observe:

> "Research and theory on managerial effectiveness are highly dependent upon the concepts used to describe managerial behavior, and the methods used to measure this behavior. Progress in learning about effective manager behavior has been slowed by the proliferation of behavior concepts and a lack of accurate measures of these concepts. In most cases, the behavior concepts have been measured by

> a questionnaire constructed hastily without the slow and tedious research needed to properly validate this type of measuring device" (Yukl,Wall and Lepsinger 1990, p.223).

Their criticisms presaged the more recent arguments of Conger (1998) concerning the perceived sterility of much of the survey-based leadership effectiveness research found in the literature, and the need for researchers to develop much richer accounts of effective manager and leader behaviour using taxonomies and questionnaires derived from in depth qualitative research, a view also shared by Alvesson (2002, p.97).

In criticising the traditional positivist approach which assumes organisation and management are part of an objective and concrete reality, Willcocks (1992) argues that, in contrast, one may view effectiveness from a different perspective, one informed by a different set of ontological and epistemological assumptions. If, for example, the researcher takes a subjectivist approach the concept of effectiveness is likely to be concerned with socially constructed phenomena. In other words, reality and the measuring of effectiveness are subjective and socially constructed; they are not external observable facts. Hence, a subjectivist or social action frame of reference would seek to examine effectiveness in terms of the individual actor's own interpretations of reality. It would recognise that each individual may have his/her own subjective goals that may differ from the organisation's goals. However, it would be necessary to identify whether there is congruence of meaning about what constitutes effectiveness. From a subjectivist view effectiveness, as a concept, may only be important insofar as it is supported and sustained by the majority, or by powerful members of the organisation.

2.1.5 Criticism of the predominant 'frequency of observed managerial behaviour' studies

Other writers have criticised the fact that the majority of studies based on traditional positivist methods have almost exclusively been focused on identifying the 'absolute' or relative 'frequency of observed behaviours', or 'the amount of time devoted to particular activities' and not on the 'quality' or 'mastery' of specific behaviours associated with effective management (see Shipper 1991; Yukl 1994; Shipper and White 1999). Similarly, from a European perspective, Vinkenburg (1997) argues that although frequency is the most studied aspect of managerial activity it does not always show a significant relationship with effectiveness. O'Driscoll, Humphries and Larson (1991) go so far as to claim that frequency of activities performed by managers is unrelated to the way subordinates perceive and rate managerial competence. Hence, the way managers are perceived and evaluated by others is also an important determinant of managerial effectiveness and success. This suggests people are more likely to respond positively to managerial behaviours deemed from their perspective to be effective, than to behaviours they deem to be ineffective.

2.1.6 The call for multi-perspective studies of managerial/leadership behaviour and effectiveness

Van der Velde, Jansen and Vinkenburg (1999), drawing strongly on the work of writers such as Thornton (1980), Foti (1990), Shipper (1991), Bass and Yammarino (1993), Atwater and Yammarino (1992) and Tsui and Ashford (1994), assert there is a link between actual managerial success and the perceptions that subordinates, peers and superiors have concerning the behaviours they respectively associate with managerial effectiveness or ineffectiveness. However, subordinates, peers, superiors and managers themselves often differ in their judgments of behaviours and perceptions. This conclusion is supported by Shipper (2000) who strongly advocates that managerial effectiveness should be examined from the perspectives of both superiors and subordinates.

In the area of leadership research, various other writers have similarly argued the case for multi-perspective approaches. For example, Kim and Yukl (1995) suggest that an interesting research question yet to be answered is the extent to which leaders see their own behaviour differently to the way subordinates see it. However, this calls for a range of comparative studies both within and between different types of organisational settings. Conger (1998), who advocates the use of qualitative methods in the field of leadership research, argues that quantitative analysis has not only been poor at measuring interaction, which is a critical element of leadership, but has also tended to be uni-directional, having been based predominantly on the followers [*subordinates*] perceptions of leader behaviour. He claims this is one of the most serious flaws of the quantitative approach. More recently Barker (2000, p.292), drawing on the work of McEvoy and Beatty (1989), asserts that "effective leadership is perhaps best measured by [*all*] those who are the consumers of leadership", namely subordinates, peers and superiors. This lends support to the argument that more multi-perspective approaches to the empirical study of managerial/leadership behaviour and effectiveness are required, particularly if deeper and richer understandings of these issues are to be obtained.

2.1.7 The lack of generalisability of managerial/leadership research findings

Another major criticism of management and leadership research concerns the issue of the generalisability of findings within and across organisational settings, national boundaries and cultures. For example, commenting on the thirty years or so of research into leadership and supervisory behaviour carried out by various investigators attempting to build on the early work of Robert Bales and associates at Harvard (Bales 1954) and the Ohio State Studies of Halpin (1954, 1956, 1957, 1964) and Stodgill and Coons (1957), and on the Michigan State Studies of Kahn and Katz (1953), Likert (1961) and Mann (1965), House and Aditya (1997) draw attention to the fact that no pattern of leader behaviour has been found to be consistently associated with any criteria of supervisor or manager effectiveness. Resulting from a wide ranging historical review of the literature in search of a strong empirical base in support of the concept of evidence-based management, Axelsson (1998) claims that despite the volumes of management research that have been published, few studies have produced empirical results that can be generalised beyond particular organisational settings. He concludes that after nearly one hundred years of research on organisations and management, the practical knowledge in the field seems to be back almost in the same scientific level as when the research started. Furthermore, most of the empirical research programmes carried out have been case studies of organisations, projects or change processes, with few yielding results that could be generalised from one organisation to another. In many instances the research appears to have become an end in itself, with little relevance for practical management. A similar situation exists in the field of leadership research. Kim and Yukl (1995) draw attention to the fact that not only is the number of studies on specific behaviours still small, but also different researchers have examined different sub-sets of behaviour. This makes it difficult to compare and contrast the findings from one study with another. Avolio, Bass and Jung (1999) argue that weaknesses in research design have been the cause of limitations on the generalisability of findings in various studies.

One example cited is that of the deployment of several different people to gather large volumes of data samples where there has been no central control over the consistency of procedures utilised. They conclude that what is called for to demonstrate generalisability of findings are replica studies, using common research designs and methods in similar and different organisational settings.

Other writers perceive there are problems of generalisability arising from the significant cultural and organisational differences affecting the managerial and leadership environment of the USA in relation to other countries, and have questioned the generalisability of the findings from the plethora of US research to non-US cultures (Ayman 1993; Smith and Bond 1993; Triandis 1993; Flanagan and Spurgeon 1996; Hunt and Peterson 1997; Peterson and Hunt 1997; Holt 1998; Hunter 1998, Alban-Metcalfe and Alimo Metcalfe 2000). Even so, House and Aditya (1997) believe it is likely that there are indeed several leadership functions generic to the exercise of leadership that are universally expected, accepted, and effective across organisations, industries, and cultures. However, they point out that this belief represents theoretical speculation, and remains to be developed theoretically and demonstrated empirically. They conclude that research needs to be directed toward establishing the generic functions of leadership, the conditions requiring their performance, and the specific behaviours required to enact these functions. However, noting that most investigations of the prevailing theories of leadership and management are conducted by the authors of the theories, or by their associates, they suggest that when conducting meta-analyses in search of generalisability, authorship of this kind should be examined as a moderating variable.

2.1.8 In search of the universally effective manager/leader

Some writers have expressed a belief in the concept of the universally effective manager/leader, and advocate universalistic as opposed to contingent approaches to management and leadership research. For example, Bass (1997) believes there are leadership styles that may be more universal to different cultures, while Thomson, Stuart and Lindsay (1996) note that there has been much interest in the identification of a generic list of managerial competencies. Referring to Woodruffe (1992), they argue that comparisons between existing lists of managerial competence and overlaps support a belief in generic competence. They also claim that the ideal theory for a competence framework would in essence be generalisable, yet simple. Over the past two decades there has been considerable debate and controversy in the UK concerning the notion of the universally effective [*competent*] manager as defined by Bennett and Langford (1983). Some believe that a set of universally applicable management competence criteria and competence–based standards pertaining to management activities and behaviours can be developed, irrespective of functions or organisational settings (Training Agency 1988). This belief led to the setting up of the Management Charter Initiative, an organisation that developed a national vocational qualification framework for management based on a 'components of management competences classification system' produced by the Training Agency that was influenced in part by the managerial competence work of Boyatzis (1982). However, around that time, various expert commentators such as Herriot (1988), Jacobs (1989) and Burgoyne (1989) were expressing concerns about the soundness, limitations and narrowness of the universal approach (see Hamlin and Stewart 1990). However, these concerns were addressed in part by Hamlin (1988) who had identified through his own empirical research a range of universal criteria of managerial effectiveness criteria within UK secondary schools. These gave considerable support to the existence of the universally effective manager (Hamlin 1990).

More recently, based on their critical review of the scientific study of leadership and the latest discussions in the literature on the existence of "universal or near universal effective leader behaviours", House and Aditya (1997, p. 453) have presented reasons for believing that some generic leadership functions may be universally acceptable and effective, regardless of the dispositions and norms of diverse groups. Although claiming the functions of the leader may be enacted with different behaviours depending on the situation or culture, they contend "the logic suggesting universality of leader behaviours is compelling". However, they point out there is only sparse empirical evidence relevant to this issue.

In contrast other recent writers have espoused the belief that managerial competencies are context specific to a particular organisation. For example, Garavan and McGuire (2001, p.155), drawing on the work of Raelin and Cooledge (1995), Antonacopoulou and Fitzgerald (1996), Cappelli and Crocker-Hefter (1996), and Hayes, Rose-Quirie and Allinson (2000), claim that "it is arguable in the context of managerial work, with its unpredictable and uncertain character, that a list of core competencies is largely irrelevant and impractical".

Other writers have also expressed misgivings about the concept of the universally effective manager and the notion that managerial skills and behaviours, behavioural competencies, and criteria of managerial effectiveness, are generic. These writers have questioned whether they can be transferred and applied with equal success across and between both private and public sector organisations (see Moss Kanter and Summers 1987; Meek 1988; Stewart 1989; Burgoyne 1990; Harrow and Willcocks 1990, Willcocks 1992).

Drawing on the work of these latter writers, Flanagan and Spurgeon (1996, pp.41-42) draw attention to a "widely held view that management effectiveness is contingent, [*being*] derived from what others expect or require managers to do". They conclude that effectiveness "should not be taken as some objective absolute which holds good for all managerial jobs in all organisations", and contend that while there may be similarities, "effectiveness can be defined only in situational terms". They also argue that "a manager's effectiveness cannot be assessed or improved until it is clear as to what constitutes a particular view of effectiveness, and what criteria are being used explicitly or implicitly to assess it". Furthermore, they suggest:

> "different organisational contexts and circumstances may dictate whether a particular manager is viewed as successful or not at any point in time, [*and that*] an effective manager in one organisation may be judged as less effective in another. [*Additionally*], individual managers are unlikely to have exactly the same view of what sort of behaviour constitutes effective managerial performance, unless there has been some rigorous work undertaken to make explicit, share and understand the dimensions of effectiveness that are important, or believed to be important, in the organisation. In the absence of this, managers will operate on the basis of their own personal experience and beliefs about what constitutes effective managerial behaviour" (Flanagan and Spurgeon 1996, p.42).

Hence, Flanagan and Spurgeon strongly advocate that an organisation needs to find out "the criteria, [*job*] dimensions, or characteristics its managers use that influence both their own behaviour and lead them to view others as effective or otherwise" (p.45). It is interesting to note that in trying to understand managerial [*and leadership*] effectiveness, as perceived and defined by other commentators, they found little in the management literature written specifically about it. They report "there has not been a great deal of work looking specifically at the public sector in general, nor into the nature of managerial effectiveness in the public sector [*including the NHS and local government*] in comparison to the private sector" (p.27). As recently observed by the author, there continues to be a dearth of managerial effectiveness research in the UK Health Service Sector with the exception of the studies of Flanagan (1990), Willcocks (1992, 1997), and more recently of Alban-Metcalfe and Alimo-Metcalfe (2000), Alimo-Metcalfe and Alban-Metacalfe (2001) and Gaughan (2001). Even in the USA, where comparatively more research on managerial effectiveness and leadership behaviour has been done, little has examined leaders [*or managers and administrators*] in health care settings (see, for example, Shipper, Pearson and Singer 1998).

House and Aditya(1997) have made a distinction between what they term 'generic leadership functions' and 'specific leader behaviors', as follows:

> "Organisations are both task performing and social institutions. As such, it is logical and reasonable to expect that there is a generic set of task-oriented leadership functions that must be performed to ensure organisational performance, and a generic set of organisational maintenance-oriented leadership functions that must be performed for the effective social integration of organisational members, units, and activities (Misumi 1985). The generic, task-oriented functions include the task oriented leader behaviors specified in the leader behavior paradigm and the strategic leader behaviors specified above. The generic maintenance-oriented functions include the person-oriented behaviors specified in the leader behavior paradigm, in addition to ensuring collaborative interaction among organisational members, establishing a supportive social climate, and providing infra-structures and management practices to ensure equitable compensation to organisational members, member training and development, protection of their interests, and work-related satisfaction. [*However*], it is useful to distinguish between generic leadership functions and specific behavioral manifestations of the generic functions that we refer to as specific leader behaviors. The generic functions are enacted by several specific behaviors. Thus, the generic leadership functions represent broad classes of specific leader behaviors. We refer to these classes of behaviors as generic leadership functions because they are likely to be required of one or more leaders in the normal functioning of groups or organizations, although not necessarily required at all times, or of the same leader at the same time. The enactment of these generic functions is accomplished by the exercise of specific behaviors which may vary as a function of the nature of the work performed by

> organizational members, their competence, the personality of the leader, and the cultural context in which leaders function. [*Additionally*], use of both generic and behavior specific measures have the advantage of more precise measurement. This approach allows investigators to relate specific behavioral descriptors to generic leadership functions. This approach also offers the advantage of being able to describe leadership as it is uniquely manifested in each culture, organisation, or organisational unit studied. An understanding of generic leadership functions is necessary for theoretical understanding of the leadership phenomenon. An understanding and description of specific leader behaviors is more appropriate for applied purposes such as training or organisational development efforts, and for understanding cultural and organization specific leadership phenomena" (House and Aditya 1997, pp. 442-444).

House and Aditya are suggesting that at the generic function level leadership is a universalistic concept, though at the behavioural level it may be contingent and situation/culturally specific. However, the objective truth of the matter has yet to be empirically determined.

For the purpose of the present study the author perceives the notion of the generic leadership function, as described by House and Aditya, to be similar to the notion of the universally effective manager and the concept of universal criteria of managerial/leadership effectiveness.

2.1.9 Concerns about the lack of qualitative research in the field

Another significant gap in the management literature relevant to this PhD study relates to the research methodology that has been used predominantly by most researchers in the field of managerial and leadership effectiveness. In recent years various writers have expressed concerns about the dominant use of quantitative research methods, and the rarity of qualitative studies. Despite the existence of literally thousands of quantitative studies of leadership, which have been largely survey-based, Conger (1998, p.109) agrees with Yukl (1994, p.19) that "we have yet to develop a general theory of leadership that explains all aspects of the process adequately". Den Hartog, Van Muijen and Koopman (1997) also note that little effort has been made to confirm the results of evaluations of leadership and leader behaviours with alternative methods to survey-based approaches, such as observations and interviews. Furthermore, Avolio, Bass and Jung (1999, p.461) claim that "the challenge remains as to how can we best measure exemplary leadership beyond simply using survey tools, as well as to develop them [*leaders*] over time in organisations". This challenge is echoed in the views of Barker (2000) who argues research into management and leadership should begin to examine a wider range of behaviours than those found already specified in the survey questionnaires typically used. Parry (1998, p.85) calls for a "new direction for leadership research" based on grounded theory and social process. Drawing from a wide range of literature, he presents convincing and compelling arguments regarding their relevance and usefulness for future leadership research. He draws attention to the shortcomings of research methods used for studying leadership which to date have been dominated by the quantitative analysis of quantitative data (see also Alvesson 2000, pp.114-117), and to the growing appreciation that both quantitative and qualitative methods are necessary to leadership research.

Parry (1998, p.88) additionally observes that the qualitative analysis of qualitative data has received little attention, but helpfully reminds us that "a consistent theme running through much of the research methodology literature is that neither qualitative research nor quantitative research is clearly better than the other; rather they are complementary". A number of writers, including Bryman (1988) and Wilson and Hutchinson (1991), have recommended the combination and triangulation of different methodologies, which Parry (1998) uses in support of his argument that grounded theory is beneficial to the study of leadership. Although it has not characterised leadership or management research to date, Parry provides a sound justification for its use based on the notion that leadership involves a social influence process. Recently this has become a major theme in the management literature. As he explains, eminent scholars such as Bass, Hunt, Rost, Yukl and Alvesson have been saying for years that leadership is a social process, and Glaser and Strauss (1973) and others have been emphasising that grounded theory generates theory about social processes. Its potential usefulness is therefore manifest. A feature of grounded theory is the iterative interplay between data collection, data analysis, and conceptualisation/theorising. This is known as the constant comparative method of analysis. Constant comparison indicates the researcher is constantly gathering more data, analysing it, comparing the analyses to past analyses, then gathering and analysing more data in order to clarify an emerging theoretical relationship among variables. According to Silverman (1993), this constant comparison method is a source of validity in research. Whereas mainstream approaches to research using quantitative methods tend to generalise across frequencies, grounded theory tends to generalise in the direction of theoretical ideas, thus emphasising theory development rather than the testing of a theory (Hunt and Ropo 1995).

Although grounded theory research findings tend to be applicable only to the substantive settings where they are derived, Alvesson (2002) strongly advocates the use of more substantive settings within which to research leadership, at the expense of attempting to generate generalised theory. However, as with case study research, by carrying out meta-level analysis of the interpretative/theoretical outputs from grounded theory research across a number of replicated studies in similar substantive settings, a formal generic theory can be generated to explain a more generalisable phenomenon (see Pettigrew 1990). Hence, to adequately theorise about the nature of leadership (*and management*) as a social process, Parry (1998) recommends the replication of grounded theory research into leadership (*and management*) in a range of substantive settings, with the aim of moving toward a more formal theory of leadership (*and management*). He contends that the grounded theory method will constitute an important direction to take for leadership research in the coming years.

2.2. Specific research aims and objectives of the present study

The review of literature on managerial and leadership effectiveness outlined in Section 2.1 reveals that researchers tend to be divided into two broad camps; there are those who take a 'contingency approach', arguing that the criteria that constitute managerial and leadership effectiveness are context-dependent, situation-specific and perspective-specific; and there are those that take a more 'universalistic approach', arguing that a set of universal or general criteria constitute managerial and leadership effectiveness. The key task of this PhD by Published Work thesis is to make a contribution to this debate and, as already mentioned, to assemble evidence based on a number of meta-analyses of the findings from three previous empirical studies in order to support a view that the universalistic model is more consistent with the facts. Consequently, the present study has four main aims, as follows:

> i) To bring together into one coherent body of work the findings of three previous empirical studies specifically concerned with identifying the criteria of managerial effectiveness applying within UK secondary

schools, the Anglia Region Executive Unit of HM Customs and Excise which is a major Department of the British Civil Service, and an NHS Trust hospital respectively.

[Note: *The research methodologies and methods used for all three studies were essentially the same. However, they were adapted and refined each time to benefit from the lessons learned from the preceding study and the latest reading of the literature*]

ii) To build on the results of all three studies by carrying out meta-level analyses in order to identify which managerial effectiveness criteria are held in common, and which are organisation specific.

[Note: *The objective has been to demonstrate not only the generalisability of the findings to the internal contexts of the respective organisational settings, but also to demonstrate their external generalisability across the three different organisations, and to other organisations within the Public Sector*]

iii) To distill from these meta-level analyses empirical evidence to support the notion of the 'universally effective manager' as referred by Bennett and Langford (1983).

[Note: *The task here has been to posit a generic theory or universalistic model of management to challenge the contingent model and approaches currently dominating management/leadership theory and research. The achievement of these three aims has constituted a distinctive and original contribution to knowledge in the field of managerial and leadership effectiveness, and provides a robust base for the development and enhancement of practice in the field of human resource development.]*

iv) To draw attention to a separate but related coherent body of academic output resulting directly from all three studies, which is believed to constitute an original contribution to practice in the field of management and human resource development.

SECTION 3: RESEARCH FINDINGS AND PUBLICATIONS

This section focuses on the first research aim. Firstly, it explains the rationale behind the choice of research methods used for the MPhil study that determined the methods used for the two subsequent studies, albeit with some added refinements. Secondly, it describes each study in some detail including the respective research context, the research design, its execution, the research findings, and the resulting range of published works. Thirdly, it draws attention to the specific portfolio of peer-reviewed publications selected as evidence for the present PhD study.

3.1 Research methods common to all three empirical studies

In selecting a suitable research methodology and research method for the MPhil study, the author was strongly influenced by the limitations and criticisms of the approaches, methodologies and methods deployed by most previous researchers in the field of managerial and leadership effectiveness. The vast majority of the early studies carried out from the 1950's through to the late 1970s, including the various Ohio State Leadership Studies of Fleishman, Harrison and Burtt (1955), Halpin (1954, 1955, 1956, 1964, 1969), and Schreisheim and Stogdill (1975), and the Path-Goal Theory of Leadership studies of House and Dessler (1973), had all been based on the behavioural item statements and factorial structures of the original Leadership Behavior Description Questionnaires (LBDQs) and Supervisory Behavior Description Questionnaires (SBDQs) first devised by Hemphill and Coons (1950) and Fleishman, Harrison and Burtt (1955) respectively. Subsequently Schreisheim and Stogdill (1975) and House and Dessler (1973) used a later refined LBDQ-XII version of the LBDQ scale to develop new factor analytically derived leader behaviour description questionnaires with differing over arching factorial structures.

At that time there were many persistent concerns about various inconsistencies in the research findings from the numerous universalistic studies of leadership. These concerns included the fact that no pattern of leader behaviour could be found to be consistently associated with any criteria of supervisor or manager effectiveness (House and Aditya 1997). This led to a drift away from what was termed the universalistic 'style approach' of studying leadership, towards the emergent 'contingency approach'. The contingency approach assumed managerial behaviours are moderated by situational variables applying within organisational contexts in accordance with the findings of the early and later works of Fiedler (1967, 1993). In adopting this approach various researchers, including for example Latham and Wexley (1977), Morse and Wagner (1978), and Latham, Fay and Saari (1979), used qualitative approaches for investigating directly the effective and ineffective behaviours exhibited by managers within given organisations and social contexts. They then used these identified behaviours to create their own versions of 'behaviour description questionnaires' and 'management/leadership scales' for measuring and evaluating the effective and ineffective performance of managers/leaders.

Another contingent factor that influenced the author were the well recognised differences in the US and British national cultures that he thought could have a moderating effect on the type of managerial behaviour associated with effective or ineffective management in the two countries. As discussed in Section 2.1.7, this belief has since been supported by various writers who have expressed doubts about the generalisability to the UK of US derived leadership/management behaviour questionnaires/scales such as the early LDBQs/SBDQs and, for example, the Wilson Multi-Level Management Survey (see Wilson 1978, 1980). The latter was developed during the 'contingency approach' era, and subsequent versions of it (see Wilson, Wilson and Wilson, 1996) have since been adapted and adopted for managerial effectiveness research within healthcare settings in the USA (see Shipper 1991, 2000). In light of this concern about the generalisability of US derived management/leadership questionnaires, the author concluded he should follow the example of researchers such as Latham and Wexley (1977). Namely, to adopt a 'grounded theory mindset', and develop his own version of a behavioural description questionnaire as the starting point for his research, rather than adopt a quantitative survey based approach based on predetermined questionnaires derived from existing theoretical constructs, as adopted by most previous researchers.

A particular reason for using a 'grounded theory mindset' for the first stage of the research was the fact that the author did not wish to begin his studies with any preconceived ideas as to the behaviours that constituted managerial or leadership effectiveness within the context of UK secondary schools. To develop a behavioural description questionnaire a decision had first to be made regarding the choice of research technique for collecting concrete examples of specific behaviours associated with effective and ineffective management. It was noted that a common starting point of a wide range of managerial behaviour studies carried out during the 'contingency era' by, for example, Bernadin and Beatty (1984), Latham and Wexley (1981), Latham, Fay and Saari (1979), Fineman and Payne (1974), Atkin and Conlon (1978), Morrison and Randell (1979), and Dickenson and Zellinger (1980), had been the identification of 'hard' job dimensions derived through the application of the Critical Incident Technique (CIT) as originally devised by Flanagan (1954). This technique was considered by Campbell et al. (1970) to be one of the best research techniques for focusing on the more important aspects of managerial behaviour, while Mintzberg (1973) had recognised its particular advantage of allowing for intense probing and the collection of concrete examples of behaviour. Coupled with the fact that the questionnaire and interview methods used by the Ohio State Leadership Group had produced some data of questionable reliability, that the structured observation method adopted by Mintzberg had been found inefficient and too time consuming, and that the diary and activity sampling methods suffered the major disadvantage of offering little help in developing understanding of new job dimensions and were beset by problems of interpretation, the author decided to adopt the CIT for the initial stage of his MPhil study. He decided also to apply the critical incident technique in strict accordance with the guidelines offered by Flanagan (1954), including Flanagan's definitions for 'incidents' and 'critical incidents' respectively, as follows:

> ***Incident:*** any observable human activity that is sufficiently complete in itself to permit inference and predictions to be made about the person performing the act
>
> ***Critical Incident:*** where the purpose and intent of the incident is seen to be clear and its consequences sufficiently definite to leave little doubt concerning its effects

Additionally, he considered it important that everyone participating in the research process should be working from a common understanding of the term 'managerial effectiveness'. A search of the literature revealed the findings of Bennett and Langford (1980, 1983) who had carried out an exhaustive review of the literature on managerial effectiveness. They concluded the terms effectiveness and managerial effectiveness meant the following:

> *Effectiveness:* signifies the relationship between achievement assessed against goals and purpose

> ***Managerial Effectiveness:*** this is the relationship between what a manager achieves (performance) and what he/she is expected to achieve (aims/purposes and objectives/goals) within the constraints imposed by the organisation and socio-economic environment

In the absence of alternative definitions with greater face validity, these were therefore adopted and used as part of the research design. Additionally, the definitions used to explain the meaning of the terms effective performance and ineffective performance within the context of the management research were those originally defined and adopted by Latham and Wexley (1981), as follows:

> ***Effective Performance:*** this is defined as behavior which you would wish all subject managers to adopt if and when faced with similar circumstances

> ***Ineffective Performance:*** this is defined as behavior which, if it occurred repeatedly or even once in certain circumstances, might cause you to begin to question or doubt the managerial ability of that particular manager in that instance

The critical incidents obtained from applying the CIT method were then used to construct a behavioural description questionnaire which Latham and Wexley (1981) had called a Behavioural Item Questionnaire (BIQ).

It was noted that the approach most commonly used for grouping and classifying behavioural items comprising BIQs was the 'retranslation procedure' of Smith and Kendall (1963). However, in light of identified weaknesses and problems associated with this procedure (Schwab, Heneman and DeCotiis 1975; Morrison and Randell 1979), and of Latham and Wexley's warning against subjective judgments of researchers/job analysts creeping into the research which can thereby contaminate the results, particularly during the retranslation process, it was decided to use instead a statistical analytic technique such as factor analysis or principal component analysis, as also advised by Latham and Wexley (1981).

To enable a detailed comparison to be made between the findings of the MPhil study with past US findings, it was considered the research methods to be adopted needed to match as closely as possible those used for the then most current (*and what appeared* *at the time to be the most significant*) American studies of managerial effectiveness. These were perceived by the author to be those of Latham and his various co-researchers who had used CIT extensively to obtain critical incidents for constructing their behavioural item questionnaires, and statistical analytic techniques for reducing, classifying and categorising the behavioural items comprising the BIQs.

Hence, it was decided to follow as closely as possible the guidance provided by Latham and Wexley (1981). In applying the CIT approach these researchers recommended that each critical incident interview should be limited to 1 to 1.5 hours. During this time observers were to be asked to describe five examples of effective and ineffective managerial behaviours which they had personally observed within the preceding six to twelve months (maximum), and which in hindsight could be regarded as critical incidents as per the definition. Managers interviewed were not to be allowed to volunteer critical incidents based on their own managerial practice, but only those they had observed in the management practice of other managers. For consistency a limited checklist of standard questions were used by the researcher at each CIT interview, as follows:

<u>CI Interview Checklist</u>

Standard questions for each critical incident were:

- What was the background situation, circumstance or context that led up to the critical incident you have in mind?
- What exactly did the subject manager do or not do that was either effective or ineffective?
- How was the critical incident that you have described an example of 'effective' or 'ineffective' management?

This checklist was adhered to strictly.

The above procedures which, as already implied, were strongly informed and shaped by the work of Flanagan (1954) and Latham and Wexley (1981) respectively, were incorporated into the design of the MPhil research study

Having made these choices, it was decided to use the same or as near identical research methods for the subsequent Anglia and NHS Trust managerial effectiveness studies. The reason was to enable the most meaningful comparisons to be made between the respective research findings. However, it was considered desirable to adapt and improve the research design of each subsequent study in light of the identified limitations of the respective preceding study.

Essentially the generic research design adopted for all three studies comprised the following three stages:

- **Stage 1:** The identification of specific managerial behaviours directly associated with and causally linked to effective or ineffective manager/leader performance, using the Critical Incident Technique (CIT).

- **Stage 2:** The creation of discrete statements (*items*) of behaviour derived from the critical incidents obtained from the Stage 1 research, and the construction of a Behavioural Item Questionnaire (BIQ) with a Likert rating scale attached, which was then administered.

- **Stage 3:** The identification of job dimensions and criteria of managerial effectiveness based on the Stage 2 findings using statistical analytic techniques, namely factor analysis and/or principal components analysis, and the establishing of behavioural competencies and/or generic manager/leader functions

3.2 Review and critique of the three managerial effectiveness research studies and the resulting published work

The aim of this section is to enable readers to understand the background and context of each of the three empirical studies by providing an overview as a form of introduction to the particular published articles selected for inclusion in this thesis. In each case a brief explanation of the organisational background and context is given, plus the rationale for doing the research both in terms of the organisational drivers as well as the specific academic and theoretical justification. This is followed by a brief description of the particularities of each research programme, the adaptations and improvements made to the respective research designs based on the lessons learned from the respective preceding study, and from subsequent readings of the latest literature, followed by the research findings. Reference is made to the various resultant conference papers, published occasional and working papers, and journal articles. Reference is also made to those particular refereed journal articles that have been selected to form part of the portfolio of work comprising this PhD by Published Work thesis.

Necessarily efforts have been made to avoid (or minimise) duplicating what is contained within the selected refereed articles.

3.2.1 The MPhil study: The criteria of managerial effectiveness in UK secondary schools

a) Background

At the time of starting the MPhil study the need for good management in UK schools had become widely recognised. Many expert commentators were suggesting that the various challenges facing secondary education would increasingly require high levels of management and leadership competencies and effectiveness (DES 1979; Sterne 1979; Hoyle 1979, 1986; Sweeney 1982; Murgatroyd and Gray 1982; Day 1984; HMI Wales 1984; Paisey 1984; Harling 1984; White 1984). Other expert commentators had also drawn attention to the pivotal role of Heads of Department (HoDs) within the school management hierarchy [*of secondary schools*], and the need for them to possess high levels of skills and abilities to become more effective as managers and leaders (Tyldesley 1984; Morris and Murgatroyd 1986; Handy and Aitken 1986; Audit Commission 1986). However, little was known generally about what constituted managerial effectiveness in education. Virtually no research had been published in the field, as revealed by Bridges (1982). Hence there was a pressing requirement to identify and define relevant assessment criteria that could be used in the field of education management (Hamlin 1988, pp. 18). The only piece of relevant literature found was that of Davies (1982), but the 'ten management attributes' put forward as HoD effectiveness criteria had been derived subjectively from a general review of literature, and not through the findings of empirical research.

In contrast, much was known about leadership and management applying within industrial, commercial and non-educational public sector organisations as a result of the many reported empirical studies, albeit mostly carried out in the USA. From a detailed review of the British and American literatures Langford (1980) had shown that many of the factors influencing the effectiveness of managers are common across jobs and organisations. Also Bennett and Langford (1983), drawing on the work of many authors including amongst others Schein (1973), Sank (1974), Stewart (1976) and Margerison (1980), had illustrated the extent of the existence of the universally effective manager. This was done by collating, comparing and contrasting the criteria of effectiveness identified or defined by these various authors. They concluded some criteria were determined partly by factors to be found in the specific managerial or organisational situation, while others were more generally found or applicable factors.

Resulting from a review of the work of previous researchers who had identified measurement criteria relating to the three components of managerial effectiveness as defined by Campbell et al. (1970), namely the 'person' (i.e. personal traits and characteristics), the 'product' (i.e. end-product/objectives) and the 'process' (i.e. observable actions/behaviours), it was concluded the 'process' approach, involving the identification of sets of universal and situation-specific behavioural job dimensions was likely to be the most effective approach, and that the criteria so obtained would be of most practical use for assessment purposes. Hence, it was decided the study would build on the early 1950s/1960s Ohio and Michigan State studies of Hemphill and Coons (1957), Halpin (1954, 1955, 1956, 1957) and Fleishman, Harris and Burtt (1955), and the related 1970s/1980s studies of, for example, Mintzberg (1973), Campbell et al. (1973), Schreisheim and Stogdill (1975) and Morse and Wagner (1978) in the USA, and Bennett and Langford (1983) in the UK. All of these researchers had attempted to define managerial effectiveness in terms of empirically derived behavioural job dimensions.

b) The research programme

<u>Stage 1: Identifying Effective and Ineffective Managerial Behaviours</u>

A total of 35 head teachers, deputy heads, heads of department and teachers from four schools in one Local Education Authority (LEA) were interviewed, and between them they described 340 critical incidents(CIs). Of these 115 were offered by heads/deputy heads, 126 by HoDs, and 99 by teachers. A representative cross sectional mix of all types of schools within the geographical boundary of the LEA were used to obtain the CIs.

<u>Stage 2: Creating and administering a Behavioural Item Questionnaire</u>

Resulting from an initial examination of the 340 CIs, 34 were discarded for a variety of reasons. For example, the critical incidents appeared either to be:

i) a 'one-off' reaction/behaviour of a particular HoD in a given personalised or idiosyncratic circumstance which therefore would unlikely be observable in the behaviour of other HoDs

ii) 'ambiguous' in that it could be interpreted either as an effective or ineffective behaviour depending upon whose objectives it was judged against

iii) 'complex' in that it comprised a whole sequence of interrelated behavioural activities with no indication as to the key behaviour applying

iv) 'unclear' in meaning or as to the causal link between the incident and the outcome

v) 'too general' and 'insufficiently detailed'.

The remaining 306 CIs were scrutinised for similarity. Those that were identical or closely the same in substance and meaning were grouped together to form one behavioural item. Throughout this translation process care was taken to avoid researcher contamination creeping into the work through, for example, the loss of vital meaning embodied within the original CI description, or unwitting inclusion of a change of emphasis or meaning during the translation. In the main the actual words and phraseology of the observer participants who had provided the critical incidents were retained. Whenever possible one of the grouped CIs comprising a behavioural item was selected as a representative verbatim statement of that particular behavioural item. In some instances different yet closely related items were combined into one condensed and composite item expressed in the author's words. From this translation process 138 discrete items emerged, of which 12 of the effective items could clearly be paired as directly opposite in meaning to 12 of the ineffective items. In these cases choices were made to discard one or the other of the paired effective or ineffective items, thus enabling the set to be reduced to 126 items of which 66 were examples of effective and 60 of ineffective managerial behaviour. These were used to create a Behavioural Item Questionnaire (BIQ) comprising all 126 items. A five point Likert rating scale was attached to each item ranging from 'Almost Always' to 'Almost Never' for the effective items, and ranging conversely for the ineffective items.

In the research design it was the intention to administer the BIQ instrument to two sets of people within all 26 secondary schools of the case study LEA, namely to the Head Teachers/Deputy Heads (*Top Down Rating*) and to the incumbent Heads of

Department (*Self Rating*) respectively. The purpose of this was to identify the criteria of managerial effectiveness from the two potentially different perspectives based on their respective differing perceptions and judgments about what constitutes effective and ineffective management. In the event the self-rating study had to be abandoned due to a protracted nation-wide National Union of Teachers industrial dispute prevailing at the time. This meant only top down rating data could be obtained for the study. Nineteen schools participated in this stage of the research. Each of the respective head teachers and deputy heads rated between them all of their HoD colleagues, from the most effective to the least effective. In total 232 top down BIQs were completed and returned for analysis.

Stage 3: Establishing job dimensions and identifying the criteria of managerial effectiveness using statistical analytic techniques.

The 126 items comprising the BIQ were first inter-correlated using the Pearson product moment correlation coefficient, and then 'factor analysed' using the principal axis factoring with varimax rotation method. This yielded a 22 factor solution. In accordance with Child (1970), Cattell's Scree Test was applied to obtain the optimum number of factors from which 16 of the 22 extracted factors passed the test. These were explored for meaning and given labels that accurately described in essence the nature and classification of the behavioural items loaded onto each of the factors, as given in Table 1. Drawing upon the expert views of Child (1970) and Comrey (1973), items that loaded at or above 0.30 were regarded as sufficiently high and statistically significant to provide some interpretative value. Items loading below 0.30 were discounted. Table 1 also indicates the number of effective and ineffective behavioural items (*BIs*) loaded onto each factor, and the range of their factor loadings (*FLs*).

Table 1: The MPhil Study Factorial Identity: Descriptive labels given to the factors/job dimensions

Factors/Job Dimensions	Descriptive Labels	Number of BIs	Range of FLs
I	Showing lack of consideration for staff	27	0.80-0.40
II	Organising and controlling resources	20	0.75-0.35
III	Representing the department and fighting one's corner	15	0.72-0.36
IV	Concern for maintaining performance standards	17	0.70-0.35
V	Active supportive leadership	15	0.72-0.35
VI	Involving staff in decision making and participative management style	10	0.75-0.35
VII	Resistance to change *versus* Active innovative management	13	0.70-0.35
VIII	Delegation	8	0.55-0.35
IX	Allocating work and resources	5	0.50-0.44
X	Discipline	6	0.58-0.30
XI	Lack of preparation and laissez-faire leadership	5	0.59-0.35
XII	Considering own self interest only *versus* Showing concern for the interests of others	5	0.62-0.33
XIII	Liaison with outside organisations	2	0.68-0.43
XIV	Departmental communications	4	0.64-0.31
XV	Cooperating with colleagues	3	0.51-0.48
XVI	Leadership by example	3	0.59-0.34

The 16 factors so obtained were deemed to be the criteria of managerial effectiveness applying in these case study secondary schools.

c) Meta-level analysis of results against the findings of comparable studies

These results were compared in detail against the ten comparable factor analytic research studies of managerial/leadership effectiveness found at that time in the British and American literatures, namely the works of Fleishman, Harris and Burtt (1955), Halpin (1964 and 1969), Miner (1963), Schreisheim and Stogdill (1975), House and Dessler (1973), Latham and Wexley (1977), Morse and Wagner (1978) and Latham Fay and Saari (1979) in the USA, and Bennett and Langford (1983) in the UK. The results were also compared in detail against the criteria of managerial effectiveness published by eight other well known management researchers/theorists, namely Mintzberg (1973), Katz (1974), Reddin (1974), Stewart (1976), Stewart and Stewart (1976), Burgoyne (1976), Shakman and Roberts (1977), and Skinner and

Sasser (1977). From these comparisons the author concluded that seven of the 16 factors identified could be claimed to be universal criteria, the other nine being more or less situation/education specific, as indicated in Table 2.

Table 2: The 'universal' versus 'education-specific' criteria of managerial effectiveness in secondary schools

	AUTHOR'S FACTORS	EXTENT OF COINCIDENCE (Universal Similarity)
	Relative Importance Attached to Factors as Universal Criteria of Managerial Effectiveness	
universal CRITERIA	I Showing lack of consideration for staff	78%
	V Active supportive leadership	67%
	VII Resistance to change *versus* Active innovative management	67%
	II Organising and controlling resources	61%
	IV Concern for maintaining performance standards	61%
	VI Involving staff in decision making and a participative management style	61%
	VIII Delegation	56%
"EDUCATION-SPECIFIC" CRITERIA	XIV Departmental communications	44%
	III Representing the department and fighting one's corner	39%
	X Discipline	39%
	XV Cooperating with colleagues	33%
	IX Allocating work and resources	28%
	XI Lack of preparation and laissez-faire leadership	28%
	XVI Leadership by example	22%
	XII Considering own self interest only *versus* Showing concern for the interests of others	11%
	XIII Liaison with outside organisations	0%

d) Resulting published works

Resulting from this research two refereed articles were produced. The first article was targeted specifically towards head teachers and heads of department of UK secondary schools, and British university academics teaching and researching in the field of education management. It was published in Educational Management and Administration, the journal of the British Education Management and Administration Society (see Hamlin 1990). The second article was targeted towards HRD practitioners and scholars, including OD consultants and management development specialists. It was published in Leadership and Organisation Development Journal (see Hamlin and Stewart 1990).

The specific aim of the former article was to make a contribution to the national debate regarding concerns about the quality of management in schools, and to address the increasing number of calls in the management literature for higher orders of managerial competence/effectiveness, not only at the head teacher level but also throughout the whole of a school's management team. The article was also aimed at drawing attention to the identified universal and education-specific criteria of managerial effectiveness that provided some illumination on the issue of managerial competence within UK secondary schools, at least within one LEA.

The specific aim of the second article was to contribute to the prevailing national debate concerning the universal and process approaches to Management Education, Training and Development (METD) in the UK. These approaches had become the focus of various controversial debates between proponents and opponents of the competence movement that were driving the national agenda for Vocational Education and Training. The universal competence approach to METD, involving the development of sets of universally applicable management competence criteria as epitomised by the work of Boyatzis (1982), was being advocated strongly by the Training Agency, a body of government, and by various independent proponents of the British competence movement. However, as discussed in Section 2.1.8, various nationally known academics were questioning the soundness of the derivation of lists of managerial attributes such as those of Boyatzis that were being used in assessment centres. In particular they were expressing concerns about the limitations, narrowness and appropriateness of the universal approach that some commentators considered to be misconceived (see for example, Herriot 1988; Jacobs 1989; and Smith et al. 1989). The article presented significant empirical evidence lending strong support to the proponents of the universal competence approach to METD. However, the evidence also offered some support to those who had misgivings about the universal approach, and to those who advocated the process approach

2.2 The Anglia HM Customs and Excise Study

a) Background

This three year research study was carried out within the Anglia Region Executive Unit of HM Customs and Excise, a major Department of the British Civil Service. It was commissioned in 1995 by the then Executive Head, Dick Shepherd. He was in the process of bringing about strategic organisational and cultural change within his executive unit in response to external and internal drivers, not only to delayer and downsize the organisation, but also to achieve a sharper accountability and increased professionalism from his people. This meant bringing about a more flexible organisation with a more open management style. As described by Reidy (2001, pp 156-162), "he wanted a comprehensive overview of the culture and climate in the various offices of Anglia so he could determine how best to help his people in meeting change so that stress could be minimised". As part of this he "needed to identify those pockets of resistance to cultural change which could cause potential problems when it came to implementing change initiatives". However, as part of his change strategy he wanted to promote more conducive management/leadership styles as best practice, which meant bringing about changes in the management culture. In the knowledge that some managers were struggling with outdated and inappropriate managerial competencies, he wanted "to be in a position to offer them concrete help in the form of research-informed organisation development (OD) interventions". Hence, he commissioned his research officer, Margaret Reidy, to carry out a longitudinal ethnographic research programme on cultural change within Anglia. This included the study, identification and measurement of cultural change throughout the whole organisation. The study revealed the emerging patterns of organisational problems and behaviours, and allowed sufficient time to elapse for the underlying causes of complex problems to emerge, problems of an interrelated nature that existed at different levels of the organisation. However, it was felt a more detailed understanding of the management culture was required.

Knowing of the author's managerial effectiveness research in secondary schools, Dick Shepherd commissioned a similar empirical research study into the criteria of managerial effectiveness applying within Anglia. By mutual agreement this was to be conducted within a professional partnership arrangement whereby the research findings would be used not only to meet the needs and goals of his organisation, but also the academic needs and goals of the author. As already mentioned, this type of partnership research transpired to be very similar to the type of HRD Professional Partnership advocated by Jacobs (1997) in the USA.

b) The research programme

Stages 1&:2: Identifying effective and ineffective managerial and leader behaviours/ Creating a behavioural item questionnaire (BIQ)

In this study over 1,200 critical incidents were collected from over 130 line managers, team leaders, and non-managers, drawn from all sections and departments of Anglia. These were used to create an 83 item BIQ comprising 43 discrete statements of positive (effective) managerial behaviour, and 40 negative (least effective/ineffective) behavioural statements to which were attached an appropriate 5-point Likert rating scale. The BIQ was administered to the Higher Executive Officer (HEO) and Executive Officer (EO) grades of staff comprising the organisations' management hierarchy who rated their immediate subordinate managers (Top-down rated, N= 65), but also themselves (Self-rated, N=84). The adoption of this multi-perspective approach was triggered partly by the fact that it had been an original design feature of the MPhil study that unfortunately had to be abandoned, and partly by a number of criticisms in the management literature concerning uni-directional approaches to managerial effectiveness research (Foti 1990; Shipper,1991; Bass and Yammarino 1993; Atwater and Yammarino 1992), as discussed in Section 2.1.6.

Stage 3: Identifying job dimensions and criteria of managerial effectiveness using statistical analytic techniques.

The method chosen for establishing job dimensions and identifying the criteria of managerial effectiveness applying within Anglia was SPSS alpha factor analysis with varimax rotation, rather than the principal component method used for the MPhil study. The reason for making this choice was the expectation that alpha factoring would be better for yielding a maximum number of usable factors than the principal component method. In addition, there were no plans being considered at that time for comparing the research findings from this study with those obtained from the previous MPhil research. Another difference was the decision to factor analyse separately the effective and ineffective behavioural items comprising the BIQ to produce factorial solutions from the top-down, self, and combined perspectives respectively. Each of these factorial solutions comprised a list of positive and negative factors (see Hamlin, Reidy and Stewart 1998).

The behavioural content of each factor was scrutinised and interpreted so that a descriptive label could be attached to describe and categorise in essence the underlying meaning of the factor. The resultant behavioural categories were found to be consistent with the findings from the ethnographic longitudinal research study on cultural change conducted in parallel by the internal Research Officer, Margaret Reidy. These provided the basis for identifying the criteria of managerial effectiveness applying in Anglia from the self-perceptions of managers (self-rated data), the judgments and perceptions of their superiors (top down-rated data), and also from the holistic perspective of combining the two sets of data. Overall the positive and negative criteria of managerial effectiveness so identified were as set out in Table 3.

Table 3: The criteria of managerial effectiveness within the Anglia Regional Unit of HM Customs and Excise

Positive Criteria of Managerial Effectiveness	Negative Criteria of Managerial Effectiveness
1.Empowering/Effective delegation/ Communicating widely	1.Tolerating poor performance and low standards
2. Active supportive leadership	2. Uncaring, self-serving management focus
3. Proactive management	3. Autocratic/dictatorial management (showing lack of concern/consideration for staff)
4. Proactive team leadership	4. Exhibiting gradist behaviour
5. Active development of others (Training, coaching and mentoring)	5. Narrow/parochial behaviour
6. Managing change	6. Resistance to change
	7. Lack of emotional control
	8. Manipulative behaviour
	9. Irrational management
	10. Entrenched management thinking

c) Resulting published works

Resulting from this research study four refereed articles were produced and published in international academic and practitioner journals. The first article entitled 'Effecting Change in Management Culture' was published in the journal Strategic Change (Hamlin and Reidy 1997). It was primarily targeted towards managers, trainers and developers concerned with organisational change and development and with problems of bringing about effective and beneficial cultural change. It described the outcome of a series of research-based organisation development (OD) interventions used by Dick Shepherd, the Executive Head of HM Customs and Excise (Anglia Executive Unit), to impact the management culture of his organisation in support of his major strategic change programme. The research results from Stage 1 of the Anglia study were used to inform and shape these HRD/OD interventions, namely the mass of critical incidents that had been collected during this first early stage of the study. The CIs were subjectively classified and clustered into eight clusters, with each cluster comprising three to five typical examples of effective managerial behaviours, plus three to five examples of ineffective behaviours. Each cluster was then given a descriptive label which best described that particular category of managerial behaviour, as follows:

1. Consultation
2. Communication
3. Open/Flexible versus Heavy Autocratic Management Style
4. Gradism
5. Co-operation
6. Confronting team members on difficult issues
7. Looking after the interests of team members
8. Team building

Using these eight categories, a research-based OD instrument was created for application in syndicate workshops in which groups of managers evaluated and responded to its contents. The aim was to develop ideas and action plans for promoting the type of managerial behaviours identified as examples of effective management, and for finding ways to eliminate behaviours of the type identified as examples of ineffective management. A series of OD intervention workshops was initiated and facilitated by Dick Shepherd, with the help of Margaret Reidy, at his 1995 Annual Management Conference. These were subsequently replicated and cascaded throughout the organisation. The article discusses the outcome of the research-based OD intervention workshops, and the value of research based OD instruments as powerful management tools for stimulating the type of transformational shifts in management culture that Dick Shepherd saw as essential for his organisation. The results reported in the article lend support to the analysis of the concept of 'cultural lag', as defined by Bate (1996), and its application. The authors also argue that the credibility of the internal research base was derived from its academic credentials and the full commitment of the visionary leadership of Dick Shepherd. These were significant factors in overcoming the restraining forces of cultural lag applying at the time. The authors also make a case for more use within the UK of strategically led research-based approaches to management and organisation development.

The second article entitled 'Changing the Management Culture in One Part of the British Civil Service Through Visionary Leadership and Strategically Led Research-Based OD Interventions' was similar to the first. However, although it was aimed in the same way to report how second-order organisational changes had been brought about effectively and successfully within one part of the British Civil Service through research-informed OD interventions, it was targeted towards a wider management readership through the Journal of Applied Management Studies (Hamlin, Reidy and Stewart 1997a). Furthermore, the article contained for illustrative purposes different aspects of the interim research findings and specific OD interventions to those presented in the first article.

A third article entitled "Bridging the HRD Research-Practice Gap Through Professional Partnerships: A Case Study" was published in Human Resource Development International (Hamlin, Reidy and Stewart 1998). It was targeted specifically towards HRD scholars and HRD practitioners with the aim of bringing to their attention the criteria of managerial effectiveness and leadership effectiveness applying within HMCE, as identified from the Stage 3 findings of the Anglia study. It also provided a complementary commentary on the early research-based OD initiatives, as reported elsewhere by Hamlin and Reidy (1996, 1997). This acted as an introduction to the reporting of a series of research-informed management development initiatives, self-analysis framework tools and team effectiveness workshops that had been informed and shaped by the Stage 3 findings of the Anglia study. Using the title 'Bridging the HRD Research-Practice Gap through Professional Partnerships', the main thrust of the article was to support the case for more research informed practice within the field of HRD, particularly organisationally-based research conducted as part of an HRD professional partnership of the kind advocated by Jacobs (1997). It presented the Anglia study as a UK-based example of such a partnership, and claimed it demonstrated how HRD practice could be profoundly influenced and enhanced by robust, rigorous internal research. The article also claimed the Anglia example illustrated a successful bridging of the much talked about research-practice gap in the field of HRD, and highlighted a number of lessons to be learned of relevance both to HRD practitioners, HRD scholars, and organisational leaders concerned with cultural and other strategic change issues.

The fourth article, which brought the whole of the Anglia research into the public domain through the American management literature, was published in Management Development Forum, a refereed journal publication of the Empire State College, State University of New York (Hamlin, Reidy and Stewart 1999). Although the article contains various degrees of content overlap with parts of the other two articles, it has been included in the portfolio of articles submitted for this thesis because it is angled towards a different type of readership. The major difference is the way in which a more detailed description is given regarding the research design, methods, and findings. For the first time full details of the BIQ instrument/managerial effectiveness measurement device were brought into the public domain.

All four of the journal articles have been included in the portfolio of peer-reviewed publications submitted for this PhD by Published Work thesis.

3.2.3 The NHS Trust Hospital Study

a) Background

This organizationally-based research study, which took place from April 1999 to April 2001, was concerned with identifying the criteria of managerial effectiveness applying within an acute National Health Service (NHS) Trust hospital in the UK. The main thrust of the project was to determine which behaviours of management were consistent with success, and conversely with failure. The study built upon the two previous studies carried out in UK Secondary Schools (see Hamlin 1988) and in HM Customs and Excise (see Hamlin and Reidy 1997; Hamlin, Reidy and Stewart 1998, 1999) respectively. As for these former studies a combination of qualitative and quantitative methods was adopted. Furthermore, emphasis was given to the fact that the investigation was conducted from a social constructivist perspective, and in the first instance within a 'grounded theory mindset', thereby minimizing the possible intrusion of preconceived ideas of managerial/leadership effectiveness. This obviated the use of either already established constructs and diagnostic instruments created from the author's previous research, or from measuring devices/questionnaires of other researchers such as those of Bass and Avolio (1990), creators of the widely used Multifactor Leadership Questionnaire (MLQ), or Wilson(1978) and Wilson et al.(1996) who developed the Wilson Multi-Level Management Survey instrument and its subsequent derivatives. As in the case of the Anglia study the research was conducted as part of an HRD Professional Partnership arrangement between the University of Wolverhampton and the collaborating NHS Trust hospital. The two HRD scholars comprising this HRD Professional Partnership included the author and a university research assistant. The Personnel Director of the NHS Trust hospital and one of his personnel officers became the HRD practitioners in the partnership. The research methodology and methods were identical to those adopted for the Anglia study, though on this occasion managerial effectiveness was examined from three perspectives rather than two, namely that of superiors and subordinates in addition to the self perceptions of managers themselves. As with the Anglia research the study focused predominantly on researching managerial effectiveness at the middle and front line levels of management. This differed from most comparable studies found in the literature that focused on managerial and leadership effectiveness at the level of senior and top management. The study also complemented those of Flanagan (1990), Alimo-Metcalfe and Alban-Metcalfe (2000) and Alban-Metcalfe and Alimo-Metcalfe (2001) who, as already mentioned, had carried out managerial and leadership effectiveness research within NHS settings. It should be noted that their work was focused predominantly upon top management and senior executives, and not on middle and front line managers.

Although no explicit attention was given to examining leadership effectiveness in the NHS Trust study, it was assumed throughout that leadership was an integral component of the managerial roles of the subjects being studied. It was considered likely that most if not all managers would, as part of their management task, function as either 'close' or 'nearby' leaders as defined by Shamir (1995). Drawing on the work of writers such as Katzenbach and Smith (1993), Kouzes and Posner (1993), Knights and Willmott (1992), Russ-Eft et al.(1996) and Bryman (1997), the view was taken that leadership is a widely dispersed activity within organisations, that it resides not only at all levels of the management hierarchy but also amongst the non-manager members of teams, and that it should not necessarily be thought of as a preserve of top managers or of heroic organisational leaders as happens to be the case in many of the transformational, charismatic and visionary leadership versions of the New Leadership Approach. Consequently, the NHS Trust hospital research examined not only management-orientated behaviours associated with the effective and ineffective performance of the particular senior, middle and first line managers, but implicitly also the behaviours associated with the leadership aspects of their respective managerial roles.

b) The research programme

Stage 1: Identifying effective and ineffective managerial behaviours

This Stage 1 research involved interviewing a representative sample of managers and non-managers of mixed gender drawn from both medical and non medical departments, including Head and Neck, the Surgical, Medical and Women, and Children Care Groups, and the Finance and Personnel Departments respectively. Forty five (45) managers out of a total of 102 senior, middle and front line managers were interviewed, plus twelve (12) non-managers drawn from all six departments. In total 405 critical incidents were collected from these observers.

Stage 2: Creating and administering the behavioural item questionnaire

A BIQ was created and piloted as in previous studies, and in its final form was made up of 52 items comprising an equal balance of positive and negative behavioural statements. The BIQ was administered to three sets of people within the NHS Trust hospital, namely:

1. Managers and non-managers who were asked to rate their immediate line manager (bottom up rating)

2 Managers who were asked to rate themselves (self rating)

3 Managers who were asked to rate a number of managers reporting directly to them, including those they considered on balance to be their most and least effective managers respectively (top down rating)

A total of 44 bottom up-rated, 64 self-rated, and 31 top down-rated BIQs were obtained and subjected to factor analysis.

Stage 3: Identifying job dimensions and criteria of managerial effectiveness using statistical analytic techniques

The 26 positive items and 26 negative items comprising the BIQ were separately factor analysed for each data set using the alpha factoring method with varimax rotation, as had been used for the Anglia study. This yielded stable factorial solutions for all data sets except for the negative items comprising the top down data.

However, by applying the principal component analysis method with varimax rotation, stable solutions were obtained for both the positive and negative items from this data set. As with the Anglia study the extracted factors were explored for meaning and given appropriate labels which best described in essence the nature and classification of each behavioural construct. Items loaded at or above 0.30 were regarded as potentially significant (Comrey 1973) and included in the interpretation. However, items loaded at or above 0.50 on more than one factor were excluded. The resulting behavioural categories derived from each of the three data sets were deemed to be the criteria of managerial effectiveness applying within the NHS Trust hospital, as based on the self perceptions of managers themselves (self-rated data), the perceptions and judgments of their superiors (top-down rated data), and from their immediate subordinates (bottom up-rated data) respectively. Analysis of the criteria from each perspective revealed a high level of sameness or similarity and congruence of meaning. This mutually reinforced the reliability and validity of the results. Overall, the positive and negative criteria of managerial effectiveness so identified were as set out in Table 4

Table 4: The criteria of managerial effectiveness within the NHS Trust hospital

Positive Criteria of Managerial Effectiveness	**Negative Criteria of Managerial Effectiveness**
Organisation and planning	Dictatorial/autocratic management
Active supportive leadership	Intimidating staff
Giving support to staff	Negative approach
Open and personal management approach or style	Undermining others
Inclusive decision making	Avoidance and ignoring behaviour
Looking after the interests and needs of staff	Failing to inform other people
Empowerment and delegation	Not giving, receiving or using information
Informing people	Exhibiting poor organisation
	Self serving and uncaring management
	Lack of concern for staff
	Abdicating roles and responsibilities

c) Resulting published work

Based on these research findings three peer reviewed single authored articles have been produced and all three have been accepted for publication. The first article is based upon a conference paper presented at the UFHRD sponsored 2nd International Conference on HRD Research and Practice Across Europe. This was held at the

University of Twente in the Netherlands in January 2001 (Hamlin 2001a). The paper, entitled 'Towards Evidence-Based Management and Research-Informed HRD Practice: an empirical study', was one of only eight selected for publication in the 'Recent Developments in HRD: Special Issue' of the International Journal of Human Resource Development and Management [IJHRDM] (see Hamlin 2002a). Established to cover all issues that arise when dealing with the most important of all resources, namely the human resource, IJHRDM places great emphasis on the quality of the papers published. It uses a double blind peer review procedure. As the eight conference papers selected had already gone through two rigorous international peer review procedures by a panel of world renowned HRD scholars, one prior to the conference and the other afterwards, the articles derived from these conference papers were accepted as equivalent in standing to conventionally submitted manuscripts. It should be noted that this IJHRMD article presented the interim findings of the NHS Trust study only, which at the time was two thirds complete. These findings were obtained from the self-rated and bottom up-rated data sets. The self-rated criteria of managerial effectiveness were compared against the equivalent self-rated findings from the Anglia study. Only two criteria were found not to be in both sets of results. These were 'Managing Change', one of the six positive criteria applying within the Anglia Executive Unit of HMCE, and 'Not Informing People', one of the six negative criteria applying within the NHS Trust hospital. All of the other criteria were held in common to both organisations. This pointed towards the potential generalisability of the findings.

The second article entitled 'In Support of Evidence-Based Management and Research-Informed HRD through HRD Professional Partnerships: an empirical and comparative study', published in Human Resource Development International (Hamlin 2002b), presents the end result findings of the fully completed NHS Trust study. The factorial solutions extracted from all three data sets are described in considerable detail both in terms of their behavioural content and statistical robustness. A comparative analysis of the criteria so identified reveals a very high degree of coincidence, similarity, sameness and congruence of meaning at both the factorial and behavioural levels. This suggests the criteria are universal and potentially generalisable. These results challenge the findings of various researchers including, for example, Foti (1990), Atwater and Yammarino (1992), and Van der

Velde, Jansen and Vinkenburg (1999). These writers claim that subordinates, supervisors, peers and self-perceptions differ in their judgments about what constitutes managerial effectiveness. Additionally, the results challenge the work of Tsui and Ashford (1994), Tsui et al. (1995), and Shipper (2000) who consider managerial effectiveness to be perspective specific. For example, a detailed comparison of the NHS Trust results against those from the near identical Anglia study reveals strong similarities and coincidences. These findings lend strong support to the notion that managerial effectiveness is a universalistic rather than contingent phenomenon. As such, the findings challenge the views of many writers including, for example, Herriot (1988), Smith et al. (1989) and Jacobs (1989). As previously mentioned, these writers have argued that the concept of the universally effective manager, as originally identified and defined by Bennett and Langford (1983), is misconceived, and that managerial effectiveness is a subjective concept contingent upon factors within each organisation. The article concludes that the generalisable and universal characteristics of the criteria of managerial effectiveness, as identified by the Anglia and NHS Trust studies, point to the existence of the universally effective manager. The article also argues the case for partnership research of the kind that had been utilised in both studies. Furthermore, it further demonstrates the value of such research for providing a directly relevant and suitable empirical base in support of evidence-based and research-informed approaches to management and HRD practice as defined by Hamlin (2002d, pp 97-98), and previously demonstrated by Hamlin and his co-researchers (see Hamlin and Reidy 1997; Hamlin, Reidy and Stewart 1998, 1999; Hamlin 2002; Bayley 2001.)

The third article entitled 'A Study and Comparative Analysis of Managerial and Leadership Effectiveness in the National Health Service: an empirical factor analytic study within an NHS Trust hospital' has been published in Health Services Management Research (Hamlin 2002c), and is targeted towards HRD practitioners, scholars, and managers. In terms of its contribution to knowledge, the main difference of this article is that it compares the findings of the NHS study against the behavioural construct of the 'New Model of Transformational Leadership' as offered by Alban-Metcalfe and Alimo-Metcalfe (2001). The results reveal a high degree of sameness, similarity and overlap, which suggest the existence of generalised criteria of managerial effectiveness, and lend support for the notion of evidence based practice in management within the healthcare sector.

3.3 . Selected portfolio of peer reviewed publications

This section provides a summary of the selected portfolio of single and co-authored peer reviewed journal articles submitted for this PhD by Published Work. It is achieved by reproducing the 'abstracts' from each of the published articles. Regarding the co-authored articles, it should be noted that the author of the present thesis played a predominantly major and pivotal role not only in terms of being the main contributor to the writing of the articles, but also by being the person who identified, approached and secured a commitment from the respective publishers, integrated and edited the contributions of his co-authors, progressed the articles through the peer review process, and managed the on going liaison and relationships with the publishers through to final publication. A signed statement indicating the agreed percentage contributions made by each of the respective co-authors will be found in Part II, Section 1.

3.3.1 MPhil Research 'Foundation' Publications

i) Hamlin, R.G. (1990) The competent manager in secondary schools. *Educational Management and Administration,* 18(3), pp. 3-10

> "What constitutes managerial competence in secondary schools? This article summarises the findings of an empirical research study that has identified the criteria of managerial effectiveness at Head of Department level, and outlines both the 'universally applicable' and 'education-specific' competencies required by the competent manager. Implications regarding the selection, appraisal and training of managerial staff in secondary education are discussed."

ii) Hamlin R.G. and Stewart, J. D. (1990) Approaches to management development in the UK. *Leadership and Organisation Development* 11(5), pp. 27-32

> "The 'universal competence' approach and 'process' approach appear to have equal support in management training policy. The impacts and implications of recent empirical research are described."

3.3.2 Anglia Research Publications

i) Hamlin, R.G. and Reidy, M.(1997) Effecting change in management culture. *Strategic Change,* 6(8), pp. 435-450

"This article describes the outcome of a series of research-based organisation development (OD) interventions used to bring about management culture change within one part of the British Civil Service.

- The application of well-grounded and academically rigorous internal research findings to inform and shape the OD interventions designed to impact culture in support of strategic change are discussed.
- The results reported lend support to the analysis of the concept of 'cultural lag' and its application.
- It is argued that the credibility of the internal research base, derived from its academic credentials and the full commitment of a visionary leader, were significant factors in over-coming the restraining forces of 'cultural lag' applying at the time.
- A case is made for more use within the UK of strategically led research-based approaches to management and organization development."

ii) Hamlin, R.G, Reidy, M. and Stewart, J. (1997) Changing the management culture in one part of the British Civil Service through visionary leadership and strategically-led research-based OD interventions. *Journal of Applied Management Studies,* 6(2), pp. 233-251

"This article reports some interim results arising from a series of research-based Organisation Development interventions in one part of the British Civil Service. The results are located in existing work on the role of culture in achieving organisational change in that sector, and lends support to the analysis of the concept of 'cultural lag', and its application, offered by Bate (1996). Two factors are identified as having particular significance. First, the importance of soundly based and rigorously conducted research informing and supporting OD interventions is demonstrated. Second, the visible and active support of top management and the presence of a 'visionary leader' are shown to have impact. The suggestion is made that these two factors enable OD interventions to impact on culture in support of strategic change. In particular, it is argued that the credibility of the research base, derived from its academic credentials, and the full commitment of a 'visionary leader', will be significant in achieving success in attempts to overcome the restraining forces of 'cultural lag' when implementing organisation change."

iii) Hamlin, R.G., Reidy, M. and Stewart, J.(1998) Bridging the HRD research-practice gap through professional partnerships. *Human Resource Development International,* 1(3), pp. 273-290

"This article strongly supports the case for more research informed practice within the field of HRD, particularly organisationally-based research conducted as part of an 'HRD Professional Partnership' of the kind advocated by Jacobs(1997). A UK-based example of such a partnership set within one part of the British Civil Service is presented. This demonstrates how HRD practice can be profoundly influenced and enhanced by robust rigorous internal research, and illustrates the successful bridging of the much talked about 'HRD research-practice gap'. A number of lessons are drawn from this case study of particular relevance both to HRD practitioners, HRD academics and organizational leaders concerned with cultural and other strategic change issues."

iv) Hamlin, R.G., Reidy, M. and Stewart, J. (1999) Effecting culture change through research-based management development: A British case study, *Management Development Forum*, 2(1), pp.21-47

"This article describes how OD/MD initiatives, based on the findings of rigorous internal empirical research conducted through an HRD professional partnership between in-company practitioners and university business academics, helped bring about second order changes in the management culture of one part of the British Civil Service. The article argues that the credibility of the internal research, derived from its academic credentials, and the visionary leadership of the executive head of the organization, were the most significant factors in overcoming the forces that constrained the planned strategic change. This United Kingdom case study lends support to recent calls in the British and United States management literature for more use of strategically-led, research-based approaches to management and organizational development."

3.3.3 NHS Trust Research Publications

i) Hamlin, R.G.(2002) Towards evidence-based management and research-informed HRD practice: an empirical study. *Int. J. Human Resource Development and Management*, 2(1/2), pp. 160-169

"This paper describes a program of empirical HRD research conducted as part of an 'HRD Professional Partnership' set within an NHS Trust Hospital in the UK. The research was concerned with identifying the criteria of managerial effectiveness applying at the middle and front line levels of management within the particular case study setting using Critical Incident Technique and Factor Analysis methods. The results were compared against those from an equivalent study carried out within H.M.Customs & Excise, a major department of the British Civil Service. The findings lend support to the existence of the 'universally effective manager', and provide an empirical base suitable for supporting developments towards evidence-based management and research-informed HRD practice."

ii) Hamlin, R.G.(2002) A study and comparative analysis of managerial and leadership effectiveness in the National Health Service: an empirical factor analytic study within an NHS Trust Hospital. *Health Service Management Research*, 15(4), pp. 245-263

"The research described in this article was concerned primarily with identifying the criteria of managerial/leadership effectiveness applying at the middle and front line levels of management within an NHS Trust

Hospital using critical incident technique and factor analysis methods. The findings suggest that the self-perceptions of managers and the perceptions of superiors and subordinates are very similar, and only differ on a limited number of criteria. This challenges the 'perspective specific' models of managerial effectiveness advocated by some researchers. The results are compared against those from a near identical study carried out by the author within one part of the British Civil Service, and the results from a different but comparable factor analytic study carried out by other researchers elsewhere in the NHS. The results suggest the existence of generalized criteria of managerial effectiveness, which lend considerable support to the notion of the 'universally effective manager'. This challenges the 'contingent models' of managerial effectiveness advocated by various expert commentators. In addition, the research supports the New Model of Transformational Leadership offered by Alimo-Metcalfe and Alban-Metcalfe for application within both the NHS and local government, and adds to the empirical base supporting the current drive towards evidence-based practice in management within the healthcare sector."

iii) Hamlin, R.G. (2002) In support of evidence-based management and research-informed HRD through HRD professional partnerships: an empirical and comparative study. *Human Resource Development International,* 5(4), pp 1-25, Forthcoming

"This article describes a programme of practice-grounded empirical management research set within an NHS Trust Hospital in the UK that was conducted as part of an HRD Professional Partnership of the kind advocated by Jacobs(1997). The research was concerned with identifying the criteria of managerial effectiveness at the middle and front-line levels of management using critical incident technique and factor analytic methods. The results are compared against those from an equivalent partnership research study carried out previously by the author within one part of the British Civil Service, namely the Anglia Collection of H.M.Customs & Excise. The findings lend support to the notion of the 'universally effective manager', and provide empirical support for the potential development of evidence-based and research-informed approaches to management and human resource development within the case-study NHS Trust Hospital, and possibly beyond."

SECTION 4: NEW FACTS AND FINDINGS

SYNTHESIS AND META-LEVEL ANALYSIS OF FINDINGS FROM THE PREVIOUS STUDIES

This section focuses on the second research aim of the present study, namely to build on the results of the three previous studies by carrying out several meta-analyses in order to identify which managerial effectiveness criteria are held in common, and which are organisation and/or perspective specific. The ultimate aim has been to reveal the internal generalisability of the criteria of managerial effectiveness resulting from the top down, self, and bottom up findings from the Anglia and NHS Trust studies respectively, the extent of their external generalisability across all three studies reported in Section 3, and their generalisability to those criteria of managerial effectiveness identified by other researchers in other organisations .

4.1 Internal generalisability of the criteria of managerial effectiveness

4.1.1 The Anglia study

In the Anglia study the criteria were based on both the top down-rated perceptions/ judgments of superiors, and the self-rated perceptions/judgments of incumbent managers. This multi-directional approach stands out in stark contrast to the uni-directional approach that has been adopted by most other researchers who have predominantly concerned themselves with researching the perceptions/judgments of subordinates only, as discussed in Section 2. The meta-level analysis, carried out on the positive/effective and negative/ineffective criteria identified by the Anglia study, indicates a very high degree of sameness and similarity both in terms of the descriptive labels ascribed, and the behavioural underpinning of the criteria (see Table 5). For each factor/criterion the underpinning behavioural items have been listed in rank order from the highest to the lowest factor loadings (FLs). For ease of reading and differentiation the identical behaviours have been picked out in **bold** type, and the near identical/strongly similar behaviours in ***bold italic*** type.

Table 5: Comparison of the top down-rated and self-rated criteria identified by the Angila study

Criteria from top down-rated data	Criteria from self-rated data
POSITIVE CRITERIA	
Active supportive leadership Item Nos. 51. 17. 73. 52. 01. 76. 07. 21. 50. 43. 44. 41. 33. 54. 05. 60. 48. 46. 71. 12. 58. (*FLs: 0.753 to 0.338*) Brings to the attention of superiors the successes of own team members; gives recognition, appreciation or praise when due; stands up or/fights for or defends the interests of subordinates, identifies training and development needs of team members; actively seeks to ensure staff have the necessary resources to do their jobs; accompanies team members faced with potential operational difficulties; helps team members who have been ill; involves team members in team events to determine aims of the team; steps in the prevent subordinate managers making bad decisions; *empowers people*; shows interest in and listens to the concerns and anxieties of staff, and takes positive action to address the problems; *gives people time to acclimatise and adjust to organisational changes*; *makes self available to give back-up support to team members*; initiates, promotes and supports personal development of staff; actively encourages and supports developmental and organisational initiatives taken by staff; proactively sets out to build the team; manages people un-obstructively allowing them to get on with the job; cooperates with colleague managers, releasing staff to give assistance; ensures people receive essential information immediately it is available; gives feedback and constructive criticism to his/her people; actively monitors individual and team performance.	Supportive /participative leadership Item Nos. 07. 58. 02. 12. 09. 44. 73. 01. 50. 06. 46. 17. 82. 05. 71. 03. 52. 51. 62. 48. 54. 27. 21. (FLs: 0.675 to 0.335) Helps team members who have been ill or overwhelmed with domestic crises; actively monitors individual and team performance; undertakes necessary groundwork/research in order to be well prepared for given situations; gives feedback and constructive criticism to his/her people; *consults widely with people in situations involving change when people might be sensitive or fearful*; shows interest in and listens to the concerns and anxieties of staff and takes positive action to address the problem; stands up and fights for/defends the interests of subordinates; actively seeks to ensure staff have the necessary resources for the job; cooperates with colleague managers by releasing staff, with their consent, to give technical assistance or to resolve problems for mutual benefit; steps in to prevent subordinate managers from making or enforcing potentially bad decisions; includes team members in meetings and/or project which normally would have had higher grades; gives recognition, appreciation or praise to team members when due; *gives full responsibility to subordinate managers empowering them to run unit, specialist project and/or team budgets*; actively encourages and supports developmental and organisational initiatives taken by staff; ensures people such as superiors, peers and subordinates receive essential information immediately it is available; confronts and/or speaks out to team members on sensitive/ difficult issues; identifies training/development needs of team members and puts forward requests/business case for courses; brings to the attention of own line manager the successes of own team members and seeks due recognition for them; involves team members in problem solving and decision making actively seeking their ideas and suggestions; manages people un-obstructively allowing them to get on with the job; initiates, promotes supports personal development of staff; *enables, helps, supports her/his team members to work through their problems and arrive at sound solutions*; involves team members in team events to determine the aims, objectives

	and action plans of the team.
Exhibiting a team orientation a) Actively develops his/her team and team members Item Nos. 35. 54. 60. 52. 05. 29. 82. 43. 58. 15. 17. 37. (*FLs 0.567 to 0.325*) Actively seeks, fosters and gives staff opportunities to develop themselves; initiates, promotes and supports personal development; proactively sets out to build the team; identifies training/development needs of staff and puts forward requests/business case for courses; *actively encourages and supports developmental/organisational initiatives*; places team members known to be negative to change in roles which help them overcome their initial resistance to change; gives full responsibility to subordinate managers empowering them to run unit, specialist project and/or budget; empowers people; actively monitors individual and team performance; *personally takes time to actively train coach or mentor team members*; gives recognition, appreciation or praise when due to team members; gives technical advice to, instills confidence in, and acts as a sounding board for staff who find themselves having to deal with complex work for which they need help and support. b) Communicates and consults widely and involves people Item Nos. 78. 25. 56. 23. 06. 62. 44. 27. 65. 21. 09. 39. (*FLs 0.735 to 0.337*) Proactively disseminates within the team documents of importance; *on major changes initiatives conducts special events to communicate with staff*; encourages prompt involvement and early consultation with trade unions; holds frequent meetings with team which are well and well run; includes team members in meetings and/or projects which normally would have involved higher grades; involves team members in decision making and actively seeks their views and suggestions; shows an interest in and listens to the concerns and anxieties of staff; enables, helps and supports team members to work	Proactive team leadership Item Nos. 17. 33. 19. 21. 31. 39. 71. 48. 35. 23. 27. 62. 44. 37. 82. 64. 76. 43. (*FLs 0.592 to 0.330*) Gives recognition, appreciation or praise to team members when due; *makes him/herself available to give back-up support to team members*; develops and fosters good working relationships with outside organisations; involves team members in team events in order to determine the aims, objectives and action plans of the team; *when approached gives help and support to people outside his/her own unit or division*; promotes and fosters good communications with people; ensures people such as superiors, peers and subordinates receive essential information immediately it is available; manages un-obstructively allowing people to get on with the job without constant supervision; actively seeks, fosters and/or gives team members opportunities to develop themselves; holds frequent meetings with team; enables, helps and supports his/her team and/or team members to work through their problems and arrive at sound solutions; shows interest in and listens to the concerns and anxieties of staff and takes positive action to address the problem; gives technical advice to, instills confidence in, and acts as a sounding board for staff who find themselves having to deal with complex work for which they need help and support; gives full responsibility to subordinate managers empowering them to run unit, specialist project and "or budget; *when the managers or team members make mistakes, rather than reprimanding them instead helps them learn from their mistakes*; accompanies team members faced with potential operational difficulties, physical danger or other stressful situations; empowers people. Empowering/Communicating Widely Item Nos. 78. 65. 71. 39. (*FLs 0.739 to 0.425*) Proactively disseminates within the team major documents of importance; actively promotes a corporate approach; *ensures people such as superiors, peers and subordinates receive essential information immediately it is available*; promotes and fosters good communications with people.

through their problems and arrive at sound solutions; promotes and fosters good communications with people.	
Proactive management **Item Nos.** 3. 2. 19. 01. 25. **69. 65.** 09. **33.** 12. **76.** 37. 06. 39. 07. **67.** 58 (FLs 0.746 to 0.371) **Confronts and speaks out on difficult/sensitive issues; undertakes the necessary groundwork/research to be well prepared for situations;** develops and fosters good working relationships with outside organisations; actively seeks to ensure staff have the necessary resources for the job; **takes initiative to solve problems and make more effective use of systems and resources; actively promotes a corporate approach;** ***consults widely with people in situations, particularly those involving change when people may be sensitive or fearful*****;** **makes him/herself available to give back up support;** actively promotes a corporate approach; gives feedback and constructive criticism to his/her people; **accompanies team members faced with potential operational difficulties. physical danger or other stressful situations;** gives technical advice, instills confidence in and acts as a sounding board to staff who find themselves having to deal with complex work for which they need help and support; ***includes team members in meetings and/or projects which normally would have involved higher grades***; promotes and fosters good communications with people; helps team members who have been ill or are overwhelmed with domestic crises; **innovates change or takes initiatives to effect improvement for the benefit of staff and organisation;** actively monitors individuals and team performance.	**Proactive management** **Item Nos. 67. 69. 76.** 60. 56. **33.** 03. **62.65.** (FIs 0.707 to 0.367) **Innovates change or takes initiatives to effect improvement for the benefit of staff and organisation; takes initiative to solve problems and to make more effective use of systems; accompanies team members faced with potential operational difficulties, physical danger or other stressful situations;** proactively sets out to build the team; **makes him/herself available to give back up support to team members;** ***involves team members in the processes of decision making and problem solving and actively seeks their ideas and suggestions***; **confronts and/or speaks out to team members on difficult/sensitive issues; actively promotes a corporate approach.**
Effective delegation/empowerment **Item Nos. 46. 82.** 31. **48. 39. 43. 64. 05. 62.** 09. **71. 21.** 41. 17. 60. 06. 07. 12. **23. 33.** (FIs 0.725 to 0.303) **Cooperates with colleague managers by releasing staff, with their consent, to give technical assistance to other teams, or to discuss/resolve problems for mutual benefit; gives full responsibility to subordinate managers empowering them to run units, specialist project or team budgets;** when approached gives help and support to people outside his/her own unit/division; **manages people unobtrusively allowing them to get on with the job without**	**Empowering/communicating widely** **Item Nos.** 78 65. **43. 64.** 35. **48. 05. 46. 82. 21.** 73. 27. **71.** 54. **39. 33.** 51. 58. 44. **62.** 69. 06. 03. **23.** (FLs 0.739 to 0.362) Proactively disseminates within the team/unit major documents of cultural importance; actively promotes a corporate approach; **empowers people;** when **managers/team members make mistakes helps them to learn from mistakes;** ***actively seeks, fosters and/or gives team members opportunities to develop themselves***; **manages people unobtrusively allowing them to get on with the job without constant supervision; actively encourages and supports developmental**

constant supervision; promotes and fosters good communications with people; empowers people; when the managers or team members make mistakes rather than reprimanding them instead helps them to learn from their mistakes; actively encourages and supports developmental and organisational initiatives taken by staff; involves team members in the processes of decision making and problem solving and actively seeks their ideas and suggestions; consults widely with people in situations, particularly those involving change when people may be sensitive or fearful; ensures people such as superiors, peers and subordinates receive essential information immediately; involves team members in team events to determine the aims, objectives and action plans of the team; gives people time to acclimatise/adjust to changes in organisational structure and/or systems rather than confronting them with an imposed big bang approach to change; ***gives recognition, appreciation or praise when due to team members***; ***proactively sets out to build the team***; ***gives feedback and constructive criticism to his/her people***; includes team members in meetings and/or projects which normally would have involved higher grades; ***helps team members who have been ill or are overwhelmed with domestic crises***; holds frequent meetings with team which are well organised and well run; makes him/herself available to give back-up support to team members.	and organisational initiatives taken by staff; cooperates with colleague managers by releasing staff, with their consent; to give technical assistance to other teams or to resolve problems; gives full responsibility to subordinate managers empowering them to run unit. specialist project and/or team budget; involves team members in team events to determine the aims, objectives and action plans of the team; stands up or/and fights for or defends the interests of subordinates; ***enables, helps and supports his/her team and /or team members to work through their problems and arrive at sound solutions***; ensures people receive essential information as soon as it is available; initiates, promotes, supports personal development of staff; promotes and fosters good communications with people; makes him/herself available to give back-up support to team members; ***brings to the attention of own line manager the successes of own team members and seeks due recognition for them;*** actively monitors individual and team performance; ***shows an interest in and listens to the concerns and anxieties of staff and takes positive action to address the problem***; involves team members in the processes of decision making and problem solving and actively seeks their ideas and suggestions; takes initiative to solve problems and or make more effective use of systems; includes team members in meetings and/or projects which normally have involved higher grades; confronts and/or speaks out to team members on difficult/sensitive issues; holds frequent meetings with team which are well organised and well run.
Developing others Item Nos. 27. 15. 12. 37. 64. 41. 69. 09. 43. 76. 39. (FLs 0.674 to 0.337) Enables, helps and supports team/team members to work through their problems and arrive at sound solutions; personally takes time and trouble to train, coach and mentor team members; gives feedback and constructive criticism to his/her people; gives technical advice to, instills confidence in, and acts as a sounding board for staff who find themselves having to deal with complex work for which they need help and support; ***when managers or team members make mistakes, rather than reprimanding them instead helps them to learn from their mistakes;*** gives people time to acclimatise and adjust to changes in organisational structure and /or systems rather than confronting them with an imposed big bang approach to change; takes initiative to solve problems and or make more effective use of systems; consults widely with people in situations, particularly those involving change when people may be sensitive or fearful;	Active development of others Item Nos.54. 52. 15. 76. 60. 12. 27. 51. 44. 62. 07. 01. 09. 39. (FLs 0.598 to 0.321) ***Initiates, promotes, supports personal development of staff***; identifies training/developmental needs of team members and puts forward requests/business cases for suitable courses; personally takes the time and trouble to train, coach or mentor team members; accompanies team members faced with potential operational difficulties, physical danger or other stressful situations; proactively sets out to build the team; gives feedback and constructive criticism to his/her people; enables, helps and supports his/her team and/or team members t to work through their problems and arrive at sound solutions; brings to the attention of own line manager the successes of own team members and seeks due recognition for them; shows an interest in, and listens to the concerns and anxieties of staff and takes positive action to address the problem; involves team members in the processes of decision making and problem solving and actively seeks their ideas and suggestions;

empowers people; **accompanies team members faced with potential operational difficulties, physical danger or other stressful situations; promotes and fosters good communications with people.**	helps team members who have been ill or are overwhelmed with domestic crises; actively seeks to ensure staff have the necessary resources for the job; **consults widely with people in situations, particularly those involving change when people may be sensitive or fearful; promotes and fosters good communication with people.**
	Managing change **Item Nos** 25. 29. 41. (FLs 0.781 to 0.510) On major change initiatives conducts special events to communicate with staff; places team members known to be negative to change in roles which help them overcome their initial resistance to change; gives staff time to acclimatise and adjust to changes in organisational structures/systems rather than confronting them with an imposed big bang approach to change;
NEGATIVE CRITERIA	
Uncaring, self serving management focus **Item Nos. 77. 28. 74. 47. 36. 45. 72. 63.** 26. **22. 68. 81. 80. 57. 83.** 10. **11. 30. 24.** 38. **13. 14. 66.** (FLs 0.791 to 0.374)) **Blocks, refuses or denies giving assistance to team members seeking personal development; moves own poor performers or problematic team members to other teams thereby leaving the recipient managers to resolve the problems associated with the people; attracts people into posts by being evasive with the full facts about the work or terms and conditions;** within the promotional system exhibits favouratism; **exhibits gradist behaviour; manifests manipulative or politicking behaviour saying or doing one thing and then changing behind people's backs;** delegates to staff own managerial responsibilities overloading them to the point of personal abdication and subsequently blaming them when things go wrong; **withholds information and data from people at different levels in the hierarchy and/or from peers for political motives;** creates political pacts or coalitions with one or two other managers; **shows favouratism when allocating resouces; adopts a narrow/selfish parochial attitude;** takes action to prevent or prejudice the chances of emplyees from being successful when applying for vacant posts; **fails to give recognition or acknowledgement the good work of others;** refuses to implement new or more speedy systems of communication; **adopts an uncooperative attitude towards others;** asks for the advice and opinions of people but then appears to ignore these and proceeds to implement his/her own predetermined decisions; **manages in a dictatorial and autocratic manner;**	**Uncaring management.** **Item Nos. 79. 80. 24.** (FLs 0.622 to 0.325) Consults with staff insufficiently and /or inadequately; **fails to give recognition or acknowledgement for the good work of others; makes herself/himself absent at critical times when s/he should be about to give help, support, and advice to team members or colleague managers** **Manipulative behaviour.** **Item Nos.** 75. 63. 45. 68. (FLs 0.637 to 0.492) Gives team members/appraisees less than two performance appraisals within the quarterly system; **withholds information and data from people for political motives; manifests manipulative /political behaviour; adopts a narrow/selfish parochial attitude;** **Narrow/ parochial behaviour/selfish and unco-operative approach** **Item Nos. 83. 74. 61. 80. 13. 22. 24.** 68.(FLs. 0.702-0.323) **Adopts uncooperative attitude to others; attracts people into posts by being evasive with the full facts about the work or terms and conditions;** condones ineffective behaviour and poor performance from team members; **fails to give recognition or acknowledgement for the good work of others; shows lack of interest in or concern for the interests of staff; shows favouratism when allocating resources; makes herself/himself absent at critical times when s/he should be**

autocratically and without prior warning presents to staff significant changes; makes herself/himself absent at critical times when s/he should be around to give help, support, and advice to team members or colleague managers; behaves towards team members in a domineering, dictatorial, overbearing, or sexist manner and/or makes unreasonable and unfair demands of them; shows lack of interest in or concern for the interests of staff; communicates ineffectively with people; takes all the credit for success achieved by own team members.	around to give help, support, and advice to team members or colleague managers; adopts a narrow/selfish parochial attitude. Ignoring/Overriding needs of individuals and the organisation Item Nos. 66. 30. 40. 32. (FLs 0.737 to 0.396) Takes all the credit for success achieved by team members; autocratically and without prior warning presents to staff significant changes; delays or does not take managerial action to solve problems with persistent poor performers or disciplinary cases; procrastinates over important issues which lead to adverse consequences Exhibiting gradist behaviour/Selfish, unhelpful and obstructive Item Nos. 36. 77. 16. 18. 34. 28. 24. 11. (FLs 0.792 to 0.389) Exhibits gradist behaviour; blocks, refuses or denies giving assistance to staff seeking personal development; resists change to new working procedures even to the point of sabotage; abdicates responsibilities; omits to pass on information or keep staff informed and updated on what is going on in the organisation; moves own poor performers or problematic team members to other teams thereby leaving the recipient managers to resolve the problems associated with the people; ; makes herself/himself absent at critical times when s/he should be around to give help, support and advice to team members or colleague managers; manages in a dictatorial and autocratic manner. Being deliberately obstructive Item Nos. 14. 81. 57.(FLs. 0.754-0.343) Communicates ineffectively with people e.g speaks rarely to people within the same office; gives ill defined, foggy presentations); takes action to prevent or prejudice the chances of employees being successful when applying for vacant posts; refuses to implement new and more speedy systems of communication
Lack of emotional control adjustment Item Nos. 04. 20. 38. 53. 11. 83. 08. 68. 26. 13. 10. 16. 47. 14. 22. (FLs 0.890 to 0.320) Publicly reprimands, criticises or confronts in an antagonistic manner staff, colleagues or senior managers; displays irrational, abusive or volatile behaviour towards team members; behaves towards team members in a domineering, dictatorial, overbearing or sexist manner and/or makes	Lack of emotional control Item Nos. 08. 04. 22. 11. (FLs 0.605 to 0.547) Excuses self of blame/blames others when things go wrong; publicly reprimands, criticizes. or confronts in an antagonistic manner staff, colleagues or senior managers; shows favouratism when allocating resources; manages in a dictatorial and autocratic manner.

unreasonable and unfair demands of them; exhibits poor judgment; **manages in a dictatorial and autocratic manner;** adopts an uncooperative attitude to others; **excuses him/herself from blame and/or blames others when things go wrong;** adopts a narrow/selfish parochial attitude; **creates political pacts or coalitions with one or two other managers;** shows lack of interest in or concern for the interests of staff; asks for advice and opinions of people but then appears to ignore these and proceeds to implement his/her own predetermined decisions; resists change and new working procedures even to the point of sabotage; within the promotional system exhibits favouratism; communicates ineffectively with people; **shows favouratism when allocating resources.**	**Irrational management** **Item Nos. 20. 59. 26. 32.** (FLs 0.795 to 0.367) **Displays irrational abusive, or volatile behaviour towards team members;** fails to organise self or others; **creates political pacts or coalitions with one or two other managers;** procrastinates over important issues which leads to adverse consequences.
Resistance to change and abdicating responsibilities **Item Nos.** 16. **57.** 24. 18. 80. 36. 83. **49.** (FLs 0.682to 0.369) Resists change and new working practices even to the point of sabotage; **refuses to implement new and more speedy systems of communications;** makes her/himself absent at critical times when s/he should be around to give help support and advise to team members and colleague managers; abdicates responsibilities; fails to give recognition or acknowledgement of the good work of others; exhibits gradist behaviour *e.g communicating with own grade only at meetings and ignoring lower grades shutting people out at meetings because of their grade*) adopts an uncooperative attitude towards others; procrastinates on important issues which lead to adverse consequences; **allows team to run with insufficient or inadequate resources.**	**Entrenched management thinking.** **Item Nos.** 42. **57.** 32. 53. **49.** (FLs 0.725 to 0.401) Turns a blind eye to or fails to resolve problems; **refuses to implement new and more speedy systems of communication;** procrastinates over important issues which lead to adverse consequences; exhibits poor judgement; **allows team to run with insufficient or inadequate resources;** **Passing the buck** **Item Nos.** 72. **49.** 61. 28. FLs 0.697 to 0.335) Delegates to staff own responsibilities overloading them to the point of personal abdication; **allows team to run with insufficient or adequate resources;** condones ineffective behaviour and poor performance from team members; moves own poor performers or problematic team members to other teams thereby leaving the recipient managers to resolve the problems associated with the people.
Autocratic/dictatorial management showing lack of concern and consideration for staff **Item Nos. 13. 30.** 79. **49.** 11. **34.** 36. 45. 38. 14. (FLs 0.518 to 0.322) **Shows lack of interest in or concern for the interests of staff; autocratically and without prior warning presents staff with significant changes;** consults with staff insufficiently or inadequately; **allows team to run with insufficient or inadequate resources;** manages in a dictatorial and autocratic manner; **omits to give or pass on information or to keep staff informed and updated on what is going on in the organisation;** exhibits gradist behaviour; manifests manipulative	**Autocratic/dictatorial management/Lack of concern or consideration for others** **Item Nos.** 10. 55. **30. 13. 49. 34.** (FLs 0.680 to 0.328) Asks for advice and opinions of people but then appears to ignore these and proceeds to implement his/her own predetermined decisions; ineffectively conducts performance appraisals; **autocratically and without prior warning presents to staff significant changes; shows lack of interest in or concern for the interests of staff; allows team to run with insufficient/inadequate resources; omits to give or pass on information or to keep staff informed and updated on what is going on in the**

or politicking behaviour, saying or doing one thing and then changing behind people's backs; behaves towards team members in a domineering, dictatorial, overbearing, or sexist manner and/or makes unreasonable and unfair demands of them; communicates ineffectively with people.	**organisation.**
Depriving individuals of recognition, reward and developmental opportunities **Item Nos.** 66. 70. 81. 79. 18. (FLs 0.654 to 0.321) Takes all the credit for success achieved by own team members; **refuses to nominate people for special bonus awards or to give rewards**; takes action to prevent or prejudice the chances of employees from being successful when applying for vacant posts; consults with staff insufficiently and/or inadequately; abdicates responsibilities.	**Depriving individuals of support and developmental opportunities.** **Item Nos.** 70. 47. 24. 38. (FLs 0.770 to 0.356) **Refuses to nominate people for special bonus awards or to give rewards**; within the promotional system exhibits favouratism; makes her/himself absent at critical times when s/he should be around to give help, support and advice to team members or colleague managers; behaves towards team members in a domineering, dictatorial, overbearing, or sexist manner and/or makes unreasonable and unfair demands of them
Tolerance of poor performance/low standards **Item Nos.** 40. 59. 32. 55. 42. 61. 53. 49. 34. 14. 72. 79. (FLs 0.856 to 0.509) Delays/fails taking managerial action to address sub standard performance; fails to organise self or others; procrastinates over important issues; turns a blind eye to or fails to resolve problems; condones ineffective behaviour; exhibits poor judgment; allows team to operate with insufficient/inadequate resources; omits to give or pass on information or keep staff informed about what is going on in the organisation; communicates ineffectively with people; delegates to staff own managerial responsibilities overloading them to the point of personal abdication and subsequently blaming them when things go wrong; consults with staff insufficiently and/or inadequately.	

Table 6: Comparison of the near identical and similar top down-rated and self-rated behavioural items in Table 5

Top down-rated criteria and behaviours	**Self-rated criteria and behaviours**
POSITIVE CRITERIA	
Active supportive leadership -Empowers people -Gives people time to acclimatise and adjust to organisational changes -Makes self available to give back-up support to team members	**Supportive/participative leadership** -Gives full responsibility to subordinate managers empowering them to run their own unit, specialist project and/or team budget -Consults widely in situations involving change when people might be sensitive or fearful -Enables, helps, supports her/his team members to work through their problems and arrive at sound solutions
Exhibiting a team orientation -Actively encourages and supports developmental and organisational initiatives -Personally takes time to actively train, coach or mentor team members	**Proactive team leadership** -When approached gives help and support to people outside his/her unit or division -Makes him/herself available to give back-up support to team members
Communicates and consults widely and involves people -On major change initiatives conducts special events to communicate with staff	**Empowering/Communicating widely** -Ensures people including superiors, peers and subordinates receive essential information immediately it is available
Proactive management -Includes team members in meetings and/or projects which normally would have involved higher grades [of staff] -Promotes and fosters good communications with people	**Proactive management** -Involves team members in the processes of decision making and problem solving and actively seeks their ideas and suggestions
Effective delegation/empowerment -Proactively sets out to build a team; gives feedback and constructive criticism -Gives recognition, appreciation or praise when due to team members -Helps team members who have been ill or are overwhelmed with domestic crises	**Empowering/communicating widely** -Actively seeks, fosters and/or gives team members opportunities to develop themselves; enables, helps and support his/her team -Brings to the attention of own line managers the successes of own team members and seeks due recognition for them -Shows an interest in and listens to the concerns and anxieties of staff and takes positive action to address the problem
Developing others -Gives technical advice to, instills confidence in and acts as a sounding board for staff who find themselves having to deal with complex work for which they need help and support	**Active development of others** -Initiates, promotes, and supports the personal development of staff

NEGATIVE CRITERIA	
Uncaring, self serving management focus -Delegates to staff own managerial responsibilities overloading them to the point of personal abdication; refuses to implement new or more speedy systems of communication -Communicates ineffectively with people	**Uncaring management** -Abdicates responsibilities; resists change to new working procedures even to the point of sabotage -Consults with staff insufficiently and/or inadequately; omits to pass on information or keep staff informed and updated on what is going on in the organisation
Resistance to change and abdicating responsibilites -Abdicates responsibilities	**Entrenched management thinking/Passing the buck** -Turns a blind eye to or fails to resolve problems; delegates to staff own responsibilities overloading them to the point of abdication
Autocratic/dictatorial management showing. Lack of concern and consideration for staff -Consults with staff insufficiently or inadequately; manifests manipulative or politicking behaviour, saying one thing and then changing behind people's backs	**Autocratic/dictatorial management. Lack of concern or consideration for others** -Asks for advice and opinions of people but then appears to ignore these and proceeds to implement his/her own predetermined decisions.
Depriving individuals of recognition, reward and developmental opportunities -Takes action to prevent or prejudice the chances of employees from being successful when applying for vacant post [*elsewhere in the organisation*]	**Depriving individuals of support and developmental opportunities** -Within the promotional system exhibits favouratism; makes her/himself absent at critical times when s/he should be around to give help, support and advice to team members or colleague managers.

The analysis reveals that well over 50% of the behavioural items loaded onto each top down-rated factor/criterion are identical to those comprising the behavioural composition of the directly compared self-rated factor/criterion, and that a significant proportion of the other behavioural items loading on to each of the paired factors/criteria are near identical, or have facets, characteristics or aspects that are similar in type and substance, as illustrated in Table 6.

By comparing and contrasting the positive and negative behavioural statements set out in each paired arrangement in Table 6, it can readily be seen that there are very strong similarities and degrees of sameness between them. Combined with the significant majority of identical behavioural statements loaded onto the respective top down-rated and self-rated factors, it can be deduced these respective criteria of managerial effectiveness/ineffectiveness are virtually one and the same.

It should be noted that the only significant difference between the two sets of positive/effective criteria is the criterion entitled 'Managing Change'. This was identified from the self-ratings of managers themselves but not from the top down-ratings of their superiors. This high degree of internal congruence of meaning and generalisability between the top down-rated and self-rated criteria suggest the perceptions and judgments of managers and their immediate superiors concerning the behaviours associated with managerial effectiveness and ineffectiveness are much the same.

4.1.2 The NHS Trust study

An even stronger degree of internal generalisability has emerged from the NHS Trust research. A meta-level analysis comparison of the three sets of identified positive/effective and negative/ineffective criteria, based on the perceptions and judgments of both managers, their superiors, and subordinates respectively, reveals strong similarities. The vast majority of items that are loaded onto each factor are held in common, or are near identical/strongly similar (see Table 7 where the identical behaviours are set out in **bold** and the near identical/strongly similar behaviours in ***bold italics***). Factor-specific behaviours are few in number, particularly regarding the negative criteria.

Table 7: Comparison of the top down-rated, self-rated and bottom up-rated criteria identified by the NHS Trust study

Criteria from top down rated data	Criteria from self rated data	Criteria from bottom up rated data
POSITIVE CRITERIA		
Planning and Organisation/ Giving Support to staff **a) Effective planning, organisation and acting decisively** **Item Nos. 31. 51. 33. 43. 07. 24.** (FLs 0.749 to 0.423) **Prepares and organises well for meetings; thinks ahead and makes sure things are done in good time and prepares well; runs meetings efficiently and effectively; develops a long term department strategy and plan which provides clarity and purpose;** ***responds quickly and appropriately to staff/work problems***; in the planning of change involves staff in discussions and decision making;	**Organisation and planning** [Effective planning and organisation and acting decisively] **Item Nos. 33. 31. 51. 43.** 03(FLs 0.793 to 0.511). **Runs meetings efficiently and effectively; prepares and organises well for meetings; thinks ahead and makes sure things are done in good time and prepares well; develops a long term department strategy and plan which provides clarity and purpose;** ***takes control of difficult situations and deals with them quickly and appropriately.***	**Organisation, planning and support** **a) Effective planning, organisation and acting decisively** **Item Nos. 52. 33. 43. 51. 31** (FLs 0.794 to 0.677) **When faced with urgent problems is good at making decisions following them through and keeping promises; runs meetings efficiently and effectively; develops a long term department strategy and plan which provides clarity and purpose; thinks ahead and makes sure things are done in good time and prepares well; prepares and organises well for meetings**
Planning and Organisation/Giving Support to Staff **b) Giving support/active supportive leadership.** **Item Nos. 29. 41. 36. 01. 39. 21. 27.** (FLs 0.763 to 0.385) **When staff are under particular pressure is willing to 'muck in'; in change situations, proactively canvasses opinions and listens to the opinions of staff;** thanks people and gives praise for a job well done; ***exhibits willingness to listen to the ideas of staff and gives backing and support;*** **uses a personal approach to leadership and takes time to get to know staff on a personal level; gives time to listen to staff with problems or worries relative to work or personal issues;** gives staff the freedom/support to perform their own work in the way they see fit within their area.	**Active supportive leadership** [Open, supportive leadership and personal management style] **Item Nos. 49. 05. 46. 21. 29. 13. 19. 39. 41.** (FLs 0.758 to 0. 361) **Is approachable and makes him/herself readily available to staff; deals with difficult and personal issues with sensitivity; develops a sense of trust with staff; gives time to listen to staff with problems or worries relative to work or personal issues; when staff are under particular pressure is willing to 'muck in';** ***when staff are in conflict with one another encourages them to work through problems***; recognises problems and takes the necessary action; **uses a personal approach to leadership and takes the time to get to know staff on a personal level; in change situations proactively canvasses opinions and listens to the**	**Organisation, planning and support** **b) Supporting and helping staff/open, supportive leadership** **Item Nos. 44. 13. 39. 17. 46. 05. 49.**(FLs 0.768 to 0.404) ***Gives support to staff in developing their careers***; **when staff are in conflict with one another encourages them to work through problems; uses a personal approach to leadership and takes the time to get to know staff on a personal level;** promotes the importance or needs of their department; **develops a sense of trust with staff; deals with difficult and personal issues with sensitivity; is approachable and makes him/herself readily available to staff.** **Open and Personal management Style** [Listens to staff, is sensitive, accessible and approachable, adopts

	opinions of staff.	a personal approach] Item Nos 21. 49. 46. 25. 05. 27. 39. (FLs 0.858 to 0.496) Gives time to listen to staff with problems or worries relative to work or personal issues; is approachable and makes him/herself available to staff; develops a sense of trust with staff; keeps staff and colleagues regularly informed and up to date on what is happening and on matters directly affecting them; deals with difficult and personal issues with sensitivity; gives staff the freedom/support to perform their own work in the way they see fit within their area; uses a personal approach to leadership and takes the time to get to know staff on a personal level.
Inclusive decision making and personal approach [Involving, including, empowering staff; a personal approach to managing] Items Nos. 22 14. 39. 46. 01. 10. 33. 31. 36. 07. 41. (FLs 0.858 to 0.389) Uses resources well to aid decision making; when making decisions or presenting an argument gathers and assesses all relevant facts and judges things on their merits; uses a personal approach to leadership and takes the time to get to know staff on a personal level; develops a sense of trust with staff; exhibits willingness to listen to the ideas of staff and gives backing and support; *proactively delegates and is effective when delegating roles and responsibilities*; runs meetings efficiently and effectively; prepares and organises well for meetings; thanks people and gives praise for a job well done; responds quickly and appropriately to staff/work problems; in change situations proactively	Inclusive decision making and empowerment [Including, involving and empowering staff] Item Nos. 1. 24. 41. 27. 14. 07. 25. 22. 36. (FLs 0.701 to 0.392) Exhibits willingness to listen to the ideas of staff and gives backing and support; In the planning of change involves staff in discussions and decision making; in change situations proactively canvasses opinions and listens to the opinions of staff; gives staff the freedom/support to perform their own work in the way they see fit within their area; when making decisions or presenting an argument gathers and assesses all relevant facts and judges things on their merit; responds quickly and appropriately to staff/work problems; keeps staff and colleagues regularly informed and up to date on what is happening and on matters directly affecting them; uses resources well to aid in decision making; thanks people and gives praise for a job well done.	Open and personal management style [Listens to staff, is sensitive, accessible and approachable, adopts a personal approach, involving and empowering staff] Item Nos 21. 49. 46. 25. 05. 27. 39.(FLs 0.858 to 0.496) Gives time to listen to staff with problems or worries relative to work or personal issues; is approachable and makes him/herself available to staff; develops a sense of trust with staff; keeps staff and colleagues regularly informed and up to date on what is happening and on matters directly affecting them; deals with difficult and personal issues with sensitivity; gives staff the freedom/support to perform their own work in the way they see fit within their area; uses a personal approach to leadership and takes the time to get to know staff on a personal level.

canvasses opinions and listens to the opinions of staff		
Empowerment and delegation [Empowering, delegating, involving staff including staff, showing concern and interest in staff as individuals] **Item Nos. 13. 27. 24. 10. 07. 39.** 46. **41. 01. 36. 22. 05)** (FLs 0.774 to 0.397) **When staff are in conflict with one another encourages them to work through the problems; gives staff the freedom/support to perform their own work in the way they see fit within their area; in the planning of change involves staff in discussions and decision making; proactively delegates and is effective when delegating roles and responsibilities; responds quickly and appropriately to staff/work problems; uses a personal approach to leadership and takes the time to get to know staff on a personal level; develops a sense of trust with staff; in change situations proactively canvasses opinions and listens to the opinions of staff; exhibits willingness to listen to the ideas of staff and gives backing and support; thanks people and gives praise for a job well done; uses resources well to aid in decision making; deals with difficult and personal issues with sensitivity.**	**Inclusive decision making and empowerment** [Including, involving and empowering staff] **Item Nos. 1. 24. 41. 27. 14. 07. 22. 36.** (FLs 0.701 to 0.392) **Exhibits willingness to listen to the ideas of staff and gives backing and support; In the planning of change involves staff in discussions and decision making; in change situations proactively canvasses opinions and listens to the opinions of staff;** ***gives staff the freedom/support to perform their own work in the way they see fit within their area;*** **when making decisions or presenting an argument gathers and assesses all relevant facts and judges things on their merit; responds quickly and appropriately to staff/work problems; uses resources well to aid in decision making; thanks people and gives praise for a job well done.** **Looking after the interests and needs of staff** [Showing concern for and interest in staff as individuals] **Item Nos.** 44. **22. 10. 36. 39.** 17. **05. 07.** (FLs 0.709 to 0.406) Gives support to staff in developing their careers; **uses resources well to aid decision making; proactively delegates and is effective when delegating roles and responsibilities; thanks people and gives praise for a job well done; uses a personal approach to leadership and takes the time to get to know staff on a personal level;** promotes the importance or needs of their department; **deals with difficult and personal issues with sensitivity; responds quickly and appropriately to staff/work problems**	

Informing people **Item No.** 25 (FL 0.700) Keeps staff and colleagues regularly informed and up to date on what is happening and on matters directly affecting them		
NEGATIVE CRITERIA		
Ignoring and avoiding behaviour/Intimidating staff **Item Nos 26. 45. 30. 32. 28. 18. 20. 23. 11. 35. 42. 16.** (FLs 0.876 to 0.445) **Ignores hospital policy/rules and attempts to bypass the system; fails to follow correct/appropriate procedure; during meetings makes inappropriate of hand remarks or inappropriately voices disagreements in public; fails to be open honest forthright and upfront in their communications and dealings with people; engages in bullying and humiliates staff; refuses to admit to his/her own mistakes or errors in judgment; exhibits threatening behaviour or other threatening style of management; gives insufficient time to and /or is insufficiently organises when handling paperwork;** takes action before obtaining or checking the necessary information; **gives little or no support, instruction, training to staff in change situations; is unwilling to discuss or answer questions regarding staff concerns or queries; undermines or dismisses the efforts of staff.** **Abdicating from roles and responsibilities** **Item Nos 34. 06. 15. 11** (FLs 0.837 to 0.455) **Fails to recognise the roles and tasks that need to be given high priority and to give them priority; avoids or abdicates his/her responsibilities; fails to inform or notify the right people at the right time; takes action before obtaining or checking the**	**Ignoring and avoidance behaviour** **Item Nos 45. 26. 06. 18. 32. 50.** 16. 09. 04. **02. 48. 08** (FLs 0.739 to 0.356) **Fails to follow correct/appropriate procedure; ignores hospital policy/rules and attempts to bypass the system; avoids or abdicates his/her responsibilities; refuses to admit to his/her own mistakes or errors in judgment; fails to be open honest forthright and upfront in their communications and dealings with people; in inconsistent or unfair in their dealings with people;** undermines or dismisses the efforts of staff; neglects to inform own and/or other staff of things that are going to happen; forces or imposes changes upon people without consultation and collaboration; **fails to fully understand the problems within the department/unit or the complexities/ situation at ground level; exhibits manipulative politicking and undermining behaviour; places unrealistic workloads/expectations on self or staff.**	**Avoidance behaviour** [Ignoring and avoiding behaviours] **Item Nos.** 12. 40. 23. **06. 42. 26.** 34. **45.** 38. **35.** 37. **08.** 47. **48. 02. 50.** 30. **18. 15.** (FLs 0.805 to 0.375) ***Refuses to recognise problems or deadlines and avoids making decisions or taking necessary action***; when in meetings tends to parade and overemphasis the negative views rather than the positive; **gives insufficient time to and/or is insufficiently organised when handling paperwork; avoids or abdicates his/her responsibilities; is unwilling to discuss or answer questions regarding staff concerns or queries; ignores hospital policy/rules and attempts to bypass the system;** fails to recognise the roles and tasks that need to be given high priority and to give them priority; **fails to follow correct/appropriate procedure;** when staff are off sick fails to ensure adequate staff cover; **gives little or no support/instruction/training to staff in change situations;** fails to impart or supply accurate reliable consistent up to date information; **places unrealistic workloads/expectations on self or staff;** overrides colleague managers, goes behind back of or over the heads of other managers; **exhibits manipulative politicking and undermining behaviour; fails to fully understand the problems within the department/unit or the complexities/situation at ground level; is inconsistent or unfair in their dealings with people;** during meetings makes

necessary information		inappropriate off hand remarks or inappropriately voices disagreements in public; refuses to admit to his/her own mistakes or errors in judgement; fails to inform or notify the right people at the right time.
Uncaring, undermining, and self serving management focus **Item Nos. 50. 48. 02. 16. 35. 20. 32. 38. 15. 18. 28.** (FLs.0.855-0.399) **Is inconsistent or unfair in their dealings with people; exhibits manipulative politicking and undermining behaviour; fails to fully understand the problems within the department /unit or the complexities/situation at ground level; undermines or dismisses the efforts of staff; gives little or no support, instruction, training to staff in change situations; exhibits threatening behaviour or other threatening style of management; fails to be open, honest forthright and upfront in their communications and dealings with people; when staff are off sick fails to ensure adequate staff cover; fails to inform or notify the right people at the right time; refuses to admit to his/her own mistakes or errors in judgment; engages in bullying and humiliates their staff.** **Lack of concern for staff** **Item Nos 08. 04. 20. 42. 50.** (FLs 0.888 to 0.344) **Places unrealistic workloads or expectations on self or staff; forces or imposes changes upon people without consultation and collaboration; exhibits threatening behaviour or other threatening style of management; is unwilling to discuss or answer questions regarding staff concerns or queries; is**	**Self-serving and uncaring management** **Item Nos 47. 38. 48. 34. 26. 50. 11. 30. 35. 18.** (FLS 0. 772 to 0.377) **Overrides colleague managers, goes behind back of or over the heads of other managers;** when staff are off sick fails to ensure adequate staff cover; **exhibits manipulative, politicking and undermining behaviour;** fails to recognise the roles and tasks that need to be given high priority and to give them priority; ignores hospital policy/rules and attempts to bypass the system; **is inconsistent or unfair in their dealings with people;** takes action before obtaining or checking the necessary information; **during meetings makes inappropriate off hand remarks or inappropriately voices disagreements in public; gives little or no support, instruction, training to staff in change situations; refuses to admit to his/her own mistakes or errors in judgement.** **Negative and Undermining Approach/ Dictatorial Autocratic Management** [Lack of concern or consideration for staff] **Item Nos 42. 28. 20. 40. 30. 15. 12. 04. 08. 50. 16.** (FLs 0.848 to 0.364) **Is unwilling to discuss or answer questions regarding staff concerns or queries;** **engages in bullying and humiliates their staff; exhibits threatening behaviour or other threatening styles of management; when in meetings tends to parade and**	**Undermining and dictatorial, autocratic behaviour** [Lack of concern or consideration for staff] **Item Nos. 28. 16. 48. 20.** 30. 47. 18. 08. 42. **02.** 04. **50. 45. 32. 40. 35.** (FLs 0.819 to 0.393) **Engages in bullying and humiliates their staff; undermines or dismisses the efforts of staff; exhibits manipulative, politicking and undermining behaviour; exhibits threatening behaviour or other threatening style of management; during meetings makes inappropriately off hand remarks or inappropriately voices disagreements in public; overrides colleague managers, goes behind their back or over the heads of other managers; refuses to admit to his/her mistakes or errors in judgment;** places unrealistic workloads/expectations on self or staff; is unwilling to discuss or answer questions regarding staff concerns or queries; **fails to fully understand the problems within the department/unit or the complexities/situations at ground level;** forces or imposes changes upon people without consultation and collaboration; is **inconsistent or unfair in their dealings with people; fails to follow correct/appropriate procedure; fails to be open honest forthright and up front in communications and dealings with people; when in meetings tends to parade and over emphasise the negative views rather than the positive; gives little or no support, instruction, training to staff in**

inconsistent or unfair in their dealings with people	overemphasis the negative views rather than the positive; during meetings makes inappropriately off hand remarks or inappropriately voices disagreements in public; fails to inform or notify the right people at the right time; refuses to recognise problems or deadlines and avoids making decisions or taking necessary action; forces or imposes changes upon people without consultation and collaboration; places unrealistic workloads/expectatons on self or staff; is inconsistent or unfair in their dealings with people; undermines or dismisses the efforts of staff.	change situations.
Inadequate flow and use of information Item Nos 09. 38. 42. 11. 35. 37. 16. 32. 15 (FLs 0.872 to 0.358) Neglects to inform own and/or other staff of things that are going to happen; when staff are off sick fails to ensure adequate staff cover; is unwilling to discuss or answer questions regarding staff concerns or queries; takes action before obtaining or checking the necessary information; gives little or no support, instruction, training to staff in change situations; fails to impart or supply accurate, reliable consistent up to date information; undermines or dismisses the efforts of staff; fails to be open honest forthright and upfront in their communications and dealings with people; fails to inform or notify the right people at the right time.	Not informing people and exhibiting poor organisation Item Nos 23. 37. 35. 34. 16. 15. 48. 32. 12. 09. 45. 02. 40. 06. 08. 42. (FLs 0.693 to 0.350) Gives insufficient time to and/or is insufficiently organised when handling paperwork; fails to impart or supply accurate, reliable, consistent up to date information; gives little or no support/instruction/training to staff in change situations; fails to recognise the roles and tasks that need to be given high priority and to give them priority; undermines or dismisses the efforts of staff; fails to inform or notify the right people at the right time; exhibits manipulative politicking and undermining behaviour; fails to be open honest forthright and upfront in their communications and dealings with people; refuses to recognise problems or deadlines and avoids making decisions or taking necessary action; neglects to inform own and/or other staff of things that are going to happen; fails to follow correct/appropriate procedure; fails to fully understand the problems with the department/unit or the complexities/situations at ground level; when in meetings	Failing to inform others Item Nos. 09. 15. 37. 11. 32. 35. 34. 06. 45. 16. 20. 23. 12. (FLs 0.866 to 0.410) Neglects to inform own and/or other staff of things that are going to happen; fails to inform or notify the right people at the right time; fails to impart or supply accurate, reliable, consistent up to date information; takes action before obtaining or checking the necessary information; fails to be open honest, forthright and upfront in their communications and dealings with people; gives little or no support/instruction/training to staff in change situations; fails to recognise the roles and tasks that need to be given priority and to give them priority; avoids or abdicates his/her responsibilities; fails to follow correct/appropriate procedure; undermines or dismisses the efforts of staff; exhibits threatening behaviour or other threatening style of management; gives insufficient time to and/or is insufficiently organised when handling paperwork; refuses to recognise problems or deadlines and avoids making decisions or taking necessary action;

	tends to parade and over emphasise the negative views rather than the positive; **avoids or abdicates his/her responsibilities;** places unrealistic workloads/expectations on self or staff**; is unwilling to discuss or answer questions regarding staff concerns or queries.**	

Table 8: Comparison of the near identical and strongly similar top down-rated, self-rated and bottom up-rated behavioural items in Table 7

Top down-rated criteria and behaviours	Self-rated criteria and behaviours	Bottom up-rated criteria and behaviours
POSITIVE CRITERIA		
Effective planning organization and acting decisively -Responds quickly and appropriately to staff or work problems	**Effective planning, organisation and acting decisively** -Takes control of difficult situations and deals with them quickly and appropriately	**Effective planning, organisation and acting decisively** -When faced with urgent problems is good at making decisions, following them through and keeping promises.
Giving support/Active supportive leadership -Exhibits willingness to listen to the ideas of staff and gives backing and support	**Active supportive leadership** -Is approachable and makes him/herself readily available to staff; when staff are in conflict with one another encourages them to work through their problems	**Supporting and helping staff. Open, supportive leadership** -Gives support to staff in developing their careers; is approachable and makes him/herself readily available to staff
Inclusive decision making and personal approach -Proactively delegates and is effective when delegating roles and responsibilities	**Inclusive decision making and empowerment** -Gives staff the freedom/support to perform their own work in the way they see fit within their area	**Open and personal management style** -Gives staff the freedom/support to perform their own work in the way they see fit within their area
Empowerment and delegation -Proactively delegates and is effective when delegating roles and responsibilities	**Inclusive decision making and empowerment** -Gives staff the freedom/support to perform their own work in the way they see fit within their area	
NEGATIVE CRITERIA		
Ignoring and avoiding behaviour. Intimidating staff -Refuses to admit to his/her own mistakes or errors in judgment; avoids or abdicates his/her responsibilities	**Ignoring and avoidance behaviour** -Avoids or abdicates his/her responsibilities	**Avoidance behaviour** -Refuses to recognise problems or deadlines and avoids making decisions

The 'near identical/strongly similar' behaviours, and some of the respective 'identical' behaviours, have been set out in Table 8 from which a high degree of congruence can be seen. Although the overall wording of each of the specific behaviours is specifically different, the substance and meaning of various characteristics, aspects and facets of the behaviours are clearly held in common.

A detailed comparison and contrasting of the respective behaviours in Table 7 and Table 8 indicates all of the criteria of managerial effectiveness identified from the perspective of subordinates (bottom up-rated) are virtually the same as those identified from the perspective of the superiors (top down-rated). Furthermore, a majority of the top down-rated criteria also coincide with those identified from the self perceptions/judgments of managers themselves. As can be seen from the number of Item Numbers listed in Table 7, and from the range of specific behavioural item statements held in common (as indicated by the bold and bold italics type face), the large majority of managerial behaviours loaded onto the criteria (factors) derived from each perspective are highly generalised either to one or both of the other two perspectives. The results from all three perspectives suggest that for managers to be perceived as effective, they need to exhibit strong skills and capabilities in planning and organising, acting decisively and exhibiting an open, supportive, and personal management/leadership style. This includes being accessible and approachable to staff, handling staff issues with sensitivity, and showing concern for and interest in staff as individuals. Furthermore, managers need to adopt an inclusive approach to decision-making that involves and includes staff in the management process, and empowers them through effective delegation.

To avoid being judged as managerially ineffective, managers need to guard against behaviours that are perceived by others as ignoring, avoiding and undermining people or situations, and failing to inform or make proper use of information. Both managers and their superiors perceive the exhibition of uncaring, self-serving, and lack of concern for staff behaviours as manifestations of managerial ineffectiveness.

From the NHS Trust study only one of the positive criteria identified from the top down ratings of superiors, namely 'Informing People', and one from the self-ratings of managers, namely 'Looking After the Interests and Needs of Staff', appear to be perspective specific. In the case of the negative criteria virtually all are held in common, mostly across all three perspectives though some only across two. Various behavioural manifestations of the apparent perspective specific criterion, 'Exhibiting Poor Organisation', identified from the self ratings of managers, can be seen to be partly embedded within the behavioural underpinning of the 'Failing to Inform Others' criterion identified from the bottom up data set. Hence, facets of this criterion are also held in common which suggests a degree of internal generalisability. The fact that 'Exhibiting Poor Organisation' is the bi- polar opposite of the positive criterion 'Organisation and Planning' reinforces the internal generalised nature of these criteria.

4.2 External generalisability of the criteria of managerial effectiveness

To demonstrate the external generalisability of the findings from all three studies, the criteria have been compared against each other at both the behavioural and factorial level (see Section 4.2.1 and Section 4.2.2), and also against a comparable set of public sector related criteria of managerial effectiveness identified recently by other researchers (see Section 4.2.3).

4.2.1. Comparison of the criteria obtained from the MPhil, Anglia and NHS Trust managerial effectiveness studies at the behavioural underpinning level

Whereas the issue of managerial effectiveness was researched using a three perspectives and two perspectives approach for the NHS Trust and Anglia studies respectively, in the event only the top down perspective was used in the MPhil study. Consequently, to compare the criteria of managerial effectiveness at the behavioural underpinning level across all three studies, it has been necessary to base the meta-analysis on the top down criteria only, as set out in Tables 9 and 10. A close examination of the behavioural underpinning of the three sets of positive criteria reveal across all three studies a very strong similarity and sameness of meaning in the various categories, classifications and types of managerial behaviour. Hence, what constitutes managerial effectiveness and ineffectiveness as identified by the three respective studies is highly generalised across all three organisations. This strongly suggests the various behavioural manifestations of management and managerial effectiveness are more universalistic in character than contingent.

TABLE 9: A uni-directional comparison of the behavioural underpinning of the criteria of managerial effectiveness

Top Down Perspective-Positive Criteria

MPhil Study	Anglia Study	NHS Trust Study
Active Supportive Leadership: Responds immediately when teachers request or require help/support; gives guidance and coaching to teachers faced for the first time with unfamiliar work/tasks; gives immediate positive and constructive support to staff in dealing with difficult disciplinary problems in the classroom; gives detailed guidance and support to probationers; secures the personal trust and confidence of staff such that they feel they can talk openly about their weaknesses and shortcomings; congratulates and praises deserving staff; defends subordinates against unjustified/unfair criticism; takes on fair share of "unwanted" departmental chores;	**Active Supportive Leadership, Team Orientation and Developing Others** **a) Active supportive leadership** Brings to the attention of own line manager the successes of own subordinates and seeks due recognition for them; gives recognition, appreciation and/or praise to team when due; stands up and /or fights for or defends the interests of subordinates,, identifies and arranges training and development to meet their needs; actively ensures staff have the necessary resources to do their jobs; provides active support and help when they are confronted with operational difficulties or stressful situations; shows an interest in and listens to their concerns/anxieties and takes positive action to address the problem; gives people time to acclimatise and adjust to*(organisational)* changes affecting them; makes self available to give back-up support to team; initiates, promotes and supports personal development of staff . **b) Proactive Leadership Style** [A strand of '**Team Orientation'**] Gives feedback and constructive criticism to staff; enables, helps and supports team and team members to work through their problems and arrive at sound solutions; when managers or team members make mistakes, rather than reprimand them instead helps them to learn from their mistakes. **c) Active Development of Others** Personally takes the time to train, coach or mentor team members.	**Giving Support to Staff** (***Active Supportive Leadership***) Exhibits willingness to listen to the *good*) ideas of staff and gives them backing and support; gives time to listen to staff with problems or worries relative to work or personal issues; when staff are under particular pressure is willing to 'muck in'; thanks people and gives praise for a job well done; uses a personal approach to leadership and takes the time to get to know staff on a personal level; gives staff the freedom/support to perform their own work in the way they see fit within their area; develops a sense of trust with staff.

Organising and Controlling Resources/Concern for Maintaining Performance Standards **a) Organising and planning** Keeps good records; organises systematically materials and resources for ready accessibility to staff; good organisation of time, prioritising and commitment to task; establishes detailed schemes of work for the department commensurate with the available resources. Systematically monitors the teaching performance of staff; establishes written procedures to be used by departmental staff; circulates agendas and key information papers in advance of departmental meetings and expects everyone to come properly prepared.	**Proactive Management** [Including **Planning and Organising**] **a) Planning and organising** Undertakes the necessary groundwork/research in order to be well prepared for situations; researches ideas from staff for their feasibility and runs with them when viable;	**Organisation and Planning.** [Planning and Organising] **a) Planning and organising** When making decisions gathers and assesses all relevant facts and judges things on their merit; in the planning of change involves staff in discussions and decision making; prepares and organises well for meetings; thinks ahead and makes sure things are done in good time and prepares well;
b) Concern for performance/Proactive management Provides detailed schemes of work for non-subject specialist teachers acting on 'cover duty and arranges follow up feedback sessions to check how they have got on with the material; ensures all staff use and follow agreed procedures; expects everyone to come properly prepared *for meetings*)	**b) Proactive management/Concern for performance.** Confronts and speaks out on difficult/sensitive issues; develops and fosters good working relationships; on major change initiatives conducts special events to disseminate information, answer people's questions, and address their concerns; takes initiative to solve problems and make more effective use of systems and resources; actively promotes a corporate approach and encourages (*maintenance of*) professional standards; consults widely with people in different situations, particularly those involving change when people may be sensitive or fearful	**b) Proactive management/Concern for performance** Responds quickly and/or appropriately to staff/work problems; runs meetings efficiently and effectively; in change situations proactively canvasses opinions and listens to the opinions of staff.
Delegation When delegating tasks to staff gives them full responsibility with the freedom to make decisions and to act on their own intitiative; allows staff within limits to develop and experiment with their own ideas about how to teach he subject in new ways; when delegating tasks such as developing	**Effective Delegation and Empowerment** Gives full responsibility to subordinate managers empowering them to run units, specialist projects or team budgets; gives help and support to people outside his/her own unit/division; manages people unintrusively allowing them to get on with the job without constant supervision; encourages staff to take on responsibilities normally	**Empowerment and Delegation** When staff are in conflict with one another, encourages them to work through their own problems; gives staff the freedom/support to perform work as they see fit in their (*own*) area; proactively delegates and is effective when delegating roles and responsibilities; in the planning of change involves staff in discussion and

new work, selects those staff who have a particular interest ; actively delegates managerial and specific administrative responsibilities to members of staff	associated with higher grades and allows people to set up and run projects	decision making
Involving Staff in Decision Making/ Participative Management Style Involves staff in planning; consults/discusses with staff before implementing plans for change, and modifies these plans in the light of convincing ideas put forward by the staff; invites staff to recommend how budget should be spent; directly involves staff in (*departmental*) planning activities and the formulation of procedures; listens to the opinions of staff concerning the way the department is run/managed and invites their constructive criticism/comments; shows a willingness to recognise problems raised by staff concerning work and to sit down together in partnership to work out how they can be improved; arms self with the views and ideas of own staff before attending meetings to discuss school wide problems/proposals for change.	**Communicates and Consults Widely and Involves People** [A strand of **Team Orientation]** Proactively disseminates within the team/unit major documents of importance; on major change initiatives conducts special events to communicate with staff; encourages prompt involvement and early consultation with the Trade Union representatives and maintain good and amicable working relations; holds frequent meetings with team; includes team members in meetings and/or projects which normally would have involved higher grades *of staff*); involves team members in the processes of decision-making and problem solving, and actively seeks their ideas and suggestions; shows interest in and listens to the concerns and anxieties of staff and takes positive action to address the problem;	**Inclusive Decision Making and Personal approach** Uses (*staff*) resources well to aid in decision making; exhibits willingness to listen to the ideas of staff; when making decisions gathers all relevant facts and judges things on their merits; uses a personal approach to leadership and takes the time to get to know staff on a personal level; develops a sense of trust with staff; in the planning of change involves staff in discussions and decision making; in change situations proactively canvasses and listens to the opinions of staff.

TABLE 10: A uni-directional comparison of the behavioural underpinning of the criteria of managerial effectiveness
Top Down Perspective-Negative Criteria

MPhil Study	Anglia Study	NHS Trust Study
Showing lack of consideration for staff Loads self with easy/quick to mark exam papers while allocating to staff those that are time consuming; refuses point blank to use the offered services of 'Special Needs' teachers as a means of giving in class support to staff experiencing difficulty with pupils with learning problems; timetables examinations and report writing in same week without giving consideration to the effects on staff with already heavy workloads; refuses to listen to the concerns voiced by experienced staff; reuses to change own plans or working arrangements in order to help or make things easier for a colleague HoD; refuses to listen or be influenced by the ideas or good advice proffered by colleague HoDs and/or staff;	**Lack of Concern or Consideration for Staff** Shows lack of interest in or concerns for staff by being insensitive to individual needs; denying staff necessary resources that colleagues in other units have; ignoring people's problems in the hope they will go away; being dismissive of survey results relating to own unit; leaving staff feeling under valued; autocratically and without prior warning presents staff with significant changes; consults insufficiently or inadequately with staff; manages in a dictatorial and autocratic manner; allows team to run with insufficient or inadequate resources; manages in a dictatorial and autocratic manner by suddenly announcing decisions made behind people's backs without their knowledge, moving team members between teams without consulting either the individuals concerned	**Lack of Concern for Staff** Places unrealistic workloads and expectations on self or staff; forces or imposes changes upon people without consultation and collaboration; is unwilling to discuss or answer questions regarding staff concerns or queries; is inconsistent or unfair in their dealings with people.
Considering Own Self Interest Only **a) and b) Self serving, uncaring, or depriving behaviours** To serve own purpose allows pupils to overstay in the VIth Form classes to study subjects which they are unsuited for and unable to cope with; allocates a disproportionate number of the academically bright pupils and/or VIth Form classes to self to teach; when arranging outside events omits to announce the arrangements to colleagues until the day of the event and then expects pupils to be released from lessons at very short notice; loads self with easy/quick to	**Uncaring, Self Serving, Depriving Management Focus/ Lack of Emotional Control and Adjustment** **a) Self serving behaviours** Moves own poor performers or problematic team members to other teams thereby leaving the recipient managers to resolve the problems associated with these people; exhibits favouritism ; manifests manipulative or politicking behaviour saying one thing and then doing another behind people's backs; withholds information and data for political motives; adopts a narrow/selfish parochial attitude; excuses self from blame and blames others when things go wrong	**Uncaring, Self Serving Management Focus/Undermining or Intimidating Others** **a) Self serving behaviours** exhibits manipulative, politicking and undermining behaviour; overrides colleague managers, goes behind the backs or over the heads of other managers;

mark exam papers while allocating to staff those that are time-consuming. Takes all the credit for departmental achievements and omits to thank or praise the efforts of the staff [*From Factor I: 'Showing lack of consideration for staff'*]		
	b) Uncaring and depriving behaviours Blocks, refuses or denies giving assistance to team members seeking personal development; overloads staff with own responsibilities to the point of abdication; takes action to prevent or prejudice the chances of staff from being successful when applying for posts elsewhere in the organisation; fails to recognise or acknowledge the good work of others; deprives individuals of recognition rewards and development opportunities; refuses to nominate people for special bonus awards or to give rewards.	**b) Uncaring and depriving behaviours** Is inconsistent or unfair in their dealings with people; fails *refuses to*) to fully understand the problems within the department/unit or the complexities of situations at ground level; refuses to recognize problems or deadlines and avoids making decisions or taking necessary action; gives little or no support, instruction or training to staff in change situations; fails to impart or supply accurate, reliable, consistent, up to date information;
c) Lack of emotional control or adjustment/Undermining behaviours Makes derogatory comments on the views and opinions of own staff and /or criticises their abilities behind their backs in the hearing of all; bawls staff out or talks unpleasantly to them in front of pupils; labels members of staff with their weaknesses and adopts a negative attitude towards them[*From Factor I; Showing lack of consideration for staff*]	**c) Lack of emotional control or adjustment/ Undermining behaviours** Publicly reprimands, criticises or confronts staff, colleagues or senior managers in an antagonistic manner; displays irrational, abusive or volatile behaviour towards team members; behaves in a domineering, dictatorial, overbearing and autocratic manner making unreasonable and unfair demands on staff; exhibits poor judgement; adopts an uncooperative attitude towards others;	**c) Undermining /Lack of emotional control or adjustment behaviours** Undermines or dismisses the efforts of staff; when in meetings tends to parade and over emphasizes the negative views rather than the positive; exhibits threatening behaviour or other intimidating style of management; fails to be open, honest, forthright and up front in their communications and dealings with people; fails to inform or notify the right people at the right time; engages in bullying and humiliates their staff.

Lack of Preparation and Laissez Faire Leadership **a) Laissez faire leadership** Forgets to let staff know until the last minute of planned meetings and/or fails to inform or invite some people who should attend; leaves non specialist teachers on cover duty to formulate their own schemes of work with only an outline syllabus for guidance; convenes meetings without issuing an agenda or giving warning of the items to be discussed; allows a 'next week will do' attitude to prevail in the department;	**AbdicatingResponsibilities/ Tolerating Poor Performance and Low Standards** **a) Abdicating, avoiding, ignoring behaviours (*"Laissez faire leadership"*)** Makes self absent at critical times when team members/colleague managers need help, support or advice; abdicates responsibilities by leaving own managerial work unattended while going to low priority meetings, showing disinterest in his/her post while trying to obtain a transfer to another division Delays/fails to take managerial action to resolve problems with persistent under performing staff; fails to organise self or others; procrastinates over important issues; turns a blind eye or fails to resolve problems; condones ineffective behaviour and poor performance from team members; exhibits poor judgment; allows team to operate with insufficient/inadequate resources; delegates to staff own managerial responsibilities overloading them to the point of abdication and subsequently blaming them when things go wrong.	**Abdicating from Roles and Responsibilities/Ignoring and Avoiding Behaviour** **a) Abdicating, avoiding, ignoring behaviours ("Laissez faire leadership")** Fails to recognise the roles and tasks that need to be given high priority and to give them priority; avoids or abdicates his/her responsibilities; fails to inform or notify the right people at the right time Ignores hospital policies/ and attempts to bypass the system ; fails to follow correct/appropriate procedure; fails to be open, honest, forthright and up front in their communications and dealings with people; refuses to admit to his/her own mistakes or errors in judgment; during meetings makes inappropriately off hand remarks or inappropriately voices disagreements in public; gives insufficient time to and/or is insufficiently organised when handling paperwork; refuses to recognise problems or deadlines and avoids making decisions or taking necessary action; is unwilling to to discuss or answer questions regarding staff concerns or queries; when in meetings tends to parade/over-emphasise the negative views rather than the positive;
b) Lack of preparation [Including **Inadequate communication**] Forgets to let staff know until the last minute of planned meetings and/or fails to inform or invite some people who should attend; convenes meetings without issuing and agenda or giving warning of the items to be discussed.	**b) Inadequate communication** Omits to give or pass on information; communicates ineffectively with people;	**b) Inadequate Communication** Neglects to inform own and/or other staff of things that are going to happen; is unwilling to discuss or answer questions regarding staff concerns or queries; takes action before obtaining or checking the necessary information; gives little or no support/instruction/training to staff in change situations; fails to inform the right people at the right time; fails to impart or supply accurate, reliable, consistent, up to date information; fails to be open, honest, forthright and upfront in their communications and dealings with people.

Resistance to Change Insists on sticking to traditional 'academic' syllabi and teaching methods for lower ability band pupils as well as for the higher ability stream; takes no interest in keeping up to date with developments such as computer based learning; sticks to using dated schemes of work; exhibits defensiveness and a reluctance to carry out any critical analysis of the appropriateness of teaching methods used in the department	**Resistance to Change** Resists change and new working practices even to the point of sabotage; refuses to implement new systems of communications.	

As with the positive criteria, a close examination of the three sets of negative criteria reveal a majority of the respective behavioural underpinnings are much the same across all three studies. In the main they are strongly similar in type, nature and meaning, despite differences in the specific organisational contexts. The labels given to describe in essence the underlying meaning of each criterion are clearly near identical, and very much the same.

4.2.2 A comparison of the criteria obtained from the MPhil, Anglia and NHS Trust managerial effectiveness studies at the factorial level

At the factorial level it has been possible to use a multi-perspective approach for comparing and contrasting the criteria of managerial effectiveness as obtained from each of the three studies. Composite sets of the descriptive labels used to describe each of the internally generalised and perspective specific criteria, as identified by the MPhil, Anglia and NHS Trust studies respectively, have been produced and set out in Table 11. At a glance it can be seen that the majority of the criteria are the same, or nearly the same, in terms of the categories and classifications of behaviour. This high degree of coincidence and congruence of meaning, and external generalisability, strongly suggests managerial effectiveness is predominantly a universalistic as opposed to contingent concept.

TABLE 11: Factorial level comparison of the combined set of criteria of managerial effectiveness derived from the data obtained from the multi-perspectives of superiors, self, and subordinates respectively

MPhil Study [Superiors]	Anglia Study [Superiors and self]	NHS Trust Study [Superiors, self and subordinates]
POSITIVE CRITERIA		
Active supportive leadership Cooperating with colleagues	Active/Supportive/Participative Leadership Proactive team Leadership [Includes giving support to team]	Active supportive leadership Giving support to staff
Organising and controlling resources[Includes good planning] Concern for maintaining standards Allocating work and resources	Proactive management [Includes. good planning, organisation and concern for performance, also giving support to individuals and team]	Organisation, planning and giving support
Delegation	Empowering/Effective Delegation	Empowerment and delegation
Departmental communications [Includes communicating	Communicating widely	Informing people

widely and keeping staff informed]		
Involving staff in decision making Participative management style	**Communicates and consults widely and involves people' Active supportive, participative leadership**	**Inclusive decision making Open and personal management approach or style**
Representing the department and fighting one's corner Showing concern for the interests of others	**Active development of others (such as training, coaching mentoring)** [Includes helping and supporting staff in difficult situations]	**Looking after the interests and needs of staff** [Includes training and developing staff]
Active innovative management	**Managing change**	
NEGATIVE CRITERIA		
Considering own self interest only	**Uncaring, self serving and depriving of others management focus/ Lack of emotional control and adjustment**	**Uncaring, self serving management focus/Undermining or intimidating others**
Showing lack of consideration for staff	**Lack of concern and consideration for staff/ Autocratic, dictatorial management**	**Lack of concern for staff**
Laissez faire leadership	**Abdicating responsibilities**	**Abdicating roles and responsibilities. Not giving, receiving or using information**
Lack of preparation	**Tolerance of poor performance and low standards**	**Ignoring and avoiding behaviour.**
Resistance to change	**Resistance to change Entrenched management thinking**	**Negative approach**

As can readily be seen from Table 11, virtually all of the criteria from all three studies are essentially the same or very similar. The only exception is the absence in the NHS Trust study findings of a criterion equivalent to 'Active Innovative Management' and 'Managing Change'. Overall the results of the meta-analyses signify a significant amount of generalisability of the identified criteria of managerial effectiveness to other organisations.

4.2.3 A comparison of the Anglia and NHS Trust criteria of managerial effectiveness against the 'New Model of Transformational Leadership'

To further demonstrate the external generalisability of the identified Anglia and NHS Trust criteria of managerial effectiveness, a comparison has been made against the nine factors (*criteria*) comprising the 'New Model of Transformational Leadership' as identified and reported recently by Alban-Metcalfe and Alimo-Metcalfe (2000) and Alimo-Metcalfe and Alban-Metcalfe (2001).

Their 'New Model of Transformational Leadership' is the culmination of a two-year exploratory investigation into the nature of leadership at the higher levels of management in local government and the NHS. The factor analytic research study was co-sponsored by the Local Government Management Board and the Nuffield Institute for Health at Leeds University, and was carried out by Alimo-Metcalfe and Alban-Metcalfe. For the investigation they adopted in the first instance a 'grounded theory' approach and Kelly's Repertory Grid Technique to investigate the behavioural constructs of leadership. They interviewed male and female managers in both NHS (N=49) and local government (N=43) settings, devised behavioural statements from the identified constructs and used these to develop and pilot a behavioural description questionnaire (BIQ) comprising 176 items, and then administered this to named top, senior and middle level managers selected randomly from a national, stratified databank of organisations. A total of 1664 BIQs were 'factor analysed' using the principal component method with varimax rotation. This yielded nine factors that were then used to create two versions of the new Transformational Leadership Questionnaire (TLQ) for application in local government (LGV) and National Health Service (NHS) settings respectively. The labels given to each factor comprising the two respective TLQs, plus the underpinning behavioural manifestations, are listed and juxtaposed in the left hand column of Table 12. As can readily be seen, both sets of factors are very similar, and in most instances have been given identical or near identical labels by the researchers.

A detailed comparison of the factorial solutions and behavioural constructs of the factors comprising the 'New Model of Transformational Leadership', against both the positive and negative criteria of managerial effectiveness obtained from the central government HM Customs and Excise 'Anglia' study, and health sector 'NHS Trust' hospital study respectively, reveals a high degree of sameness and similarity. As can be seen in Table 12 there is much held in common, as indicated by the respective labels and the various behavioural manifestations of most of the factors and criteria. Just two of the TLQ factors appear to have little in common with either the positive or negative criteria of managerial effectiveness obtained from the Anglia and NHS Trust studies, namely Factor 2 and Factor 9, as follows

<u>Factor 2:</u>
LGV- Political sensitivity and skills
NHS- Ability to analyse and think creatively/Managing change sensitively and skillfully

The behavioural manifestation held in common between the two strands of this TLQ factor is the skill of 'sensitivity'. In the case of local government organisations this has much to do with being sensitive to the political dynamics and pressures operating within the contexts of these organisations where the climate and culture is highly politicised. In the case of the NHS Trust hospital, 'sensitivity' appears to be related to being sensitive to the impact of external forces, and one's own decisions on people within the organisation. This is to be expected within working environments such as hospitals where the ethics of professional practice place a particular onus on staff to be sensitive to people. Although not specifically identified as a criterion resulting from the Anglia and NHS Trust studies, the TLQ factor concerned with 'Managing Change Sensitively and Skillfully', including 'being sensitive to the impact of own decisions', can be seen to be implicit and clearly present within the behavioural content of two criteria identified by the NHS Trust study, namely 'Open, Active Supportive Leadership' and 'Communicates and Consults Widely'.

<u>Factor 9:</u>
LGV- Encourages critical and strategic thinking
NHS- Encourages Challenges to the Status Quo/Supporting a Development Culture

This factor appears not to be held in common with any specific Anglia or NHS Trust positive criterion either at the factorial or behavioural construct level. However, the Anglia negative criterion 'Resistance to change' appears implicitly to be the bi-polar opposite of a facet of the LGV positive factor 'Encourages critical and strategic thinking'. Hence, although Factor 9 might be construed to be a criterion of effectiveness specific to the transformational leadership role of top managers, the results of this meta-analysis suggests 'Encouraging change', which is the opposite of 'Resistance to change' and requires managers to exhibit critical and strategic thinking, is a key criterion of effectiveness relevant to the transactional leadership roles of more junior managers.

Table 12 : Comparison of the Anglia and NHS Trust hospital criteria of managerial effectiveness with the 'New Model of Transformational Leadership'

	A New Model of Transformational Leadership [Local Government and NHS]	Anglia and NHS Trust Hospital Criteria of Managerial Effectiveness	Anglia and NHS Trust Hospital Criteria of Managerial Effectiveness
	Positive Factors	**Positive Criteria**	**Negative Criteria**
1	Local Government **Genuine concern for others** Genuine interest in me as an individual; develops my strengths NHS **Genuine concern for others** Showing a genuine interest in staff as individuals; seeing the world through their eyes; valuing their contributions; developing their strengths; coaching and mentoring; having positive expectations	Anglia 'Positive' Criteria **Active supportive leadership** Brings to the attention of superiors the successes of subordinates, stands up for and defends their interests, gives them recognition, appreciation and praise when due, identifies and arranges training and development to meet their needs, ensures they have the necessary resources to do their jobs, provides active support and help when they are confronted with operational difficulties or stressful situations, listens to their concerns/anxieties and addresses their problems. **Developing others** Personally trains, coaches and mentors team members; gives feedback and constructive criticism; acts as a sounding board for staff; helps staff learn from their mistakes NHS Trust 'Positive' Criteria **Looking after the needs and interests of staff** Showing concern for individuals by taking a personal interest in them, giving them support for their personal and career development, and by giving praise and delegating] **Active supportive leadership** Exhibits willingness to listen to the *good*) ideas of staff and gives them backing and support; gives time to listen to staff with problems or worries relative to work or personal issues; when staff are under particular pressure is willing to 'muck in'; takes the time to get to know staff on a personal level; gives staff the freedom/support to perform their own work in the way they see fit within their area; develops a sense of trust with staff.	Anglia 'Negative Criteria **Uncaring, self serving management focus** Blocks, refuses or denies giving assistance to team members seeking personal development; exhibits favouritism and manipulative/ politicking behaviour; overloads staff with own responsibilities to the point of abdication; withholds back information and data for political motives; adopts a narrow/selfish parochial attitude; prevents/prejudices the success of others; fails to recognise/acknowledge the good work of others **Autocratic/dictatorial management showing lack of concern and consideration for staff** Shows lack of interest in or concerns for staff; manages in a dictatorial and autocratic manner NHS Trust 'Negative' Criterion **Self serving and uncaring management** Exhibits undermining behaviour; overrides colleague managers, goes behind the backs or over the heads of other managers; is inconsistent or unfair in their dealings with people; fails *refuses to*) to fully understand the problems within the department/unit or the complexities of situations at ground level; gives little or no support, instruction or training to staff in change situations; **Uncaring management** When staff are off sick fails to ensure adequate temporary cover] **Lack of concern for staff** Places unrealistic workloads and expectations on self or staff;

		Open, active supportive leadership Being approachable, developing trust, handling difficult and personal issues with sensitivity, and taking action to help and support staff]	forces or imposes changes upon people without consultation and collaboration; is unwilling to discuss or answer questions regarding staff concerns or queries; is inconsistent or unfair in their dealings with people.
2	<u>Local Government</u> **Political sensitivity and skills** Sensitive to the political pressures that elected members face; understands the political dynamics of leading a group; can work with elected members to achieve results <u>NHS</u> **Ability to analyse and think creatively.** **Managing change sensitively and skilfully** Sensitive to changes in the external environment and their differential impact on the organisation; sensitive to impact of own decisions.		
3	<u>Local Government</u> **Decisiveness, determination self confidence** Decisive when required; prepared to take decisions; self confident; resilient	<u>Anglia 'Positive' Criterion</u> **Proactively managing situations** Confronts and speaks out on difficult/sensitive issues; does the necessary groundwork/research to be well prepared for situations, takes initiative to solve problems and make more effective use of systems and resources;	<u>Anglia 'Negative' Criteria</u> **Abdicating responsibilities** Is absent at critical times when team members/colleague managers need help, support or advice **Tolerance of poor performance/low standards** Delays/fails taking managerial action to address sub standard performance; fails to organise self or others; procrastinates over important issues; turns a blind eye to or fails to resolve problems; condones ineffective behaviour; allows team to operate with insufficient/inadequate resources

	<u>NHS</u> **Decisiveness, determination, readiness to take risks** Ability to clarify shared values and the sense of direction; strong element of engaging with colleagues	<u>NHS Trust 'Positive' Criteria</u> **Organisation and planning** When making decisions gathers and assesses all relevant facts and judges things on their merit; in the planning of change involves staff in discussions and decision making; prepares and organises well for meetings; thinks ahead and makes sure things are done in good time and prepares well; **Organisation, planning and support** Being well organised, efficient and effective; being good at planning, thinking ahead and developing long term plans; supporting people	<u>NHS Trust 'Negative' Criteria</u> **Exhibits poor organisation** Poor organisation and prioritising; failing to recognise roles and tasks that need to be given high priority and to give them priority. **Ignoring and avoidance behaviour** Ignoring policies, rules and procedures; bypassing systems; hiding from own mistakes; abdicating from responsibilities; failing to be open, honest, forthright and up front in their dealings with people; avoiding responsibilities and giving insufficient time to things **Abdicating from roles and responsibilities** Avoids or abdicates his/her responsibilities
4	<u>Local Government</u> **Integrity, trustworthy, honest and open** Makes it easy for me to admit mistakes; is trustworthy; takes decisions based on moral and ethical principles <u>NHS</u> **Transparency (Integrity)** Is honest and consistent in behaviour; reflects the attitude of placing the good of the organisation before personal gain; involves humanity, humility, willingness to modify ones views	<u>Anglia 'Positive' Criterion</u> **Proactive leadership style** Actively seeks to ensure staff have the necessary resources for the job; makes him/herself available to give back up support; gives feedback and constructive criticism <u>NHS Trust 'Positive' Criterion</u> **Open and personal management approach or style/Active supportive leadership** Exhibits willingness to listen to the ideas of staff; uses a personal approach to leadership and takes the time to get to know staff on a personal level; develops a sense of trust with staff; in the planning of change involves staff in discussions and decision making; in change situations proactively canvasses and listens to the opinions of staff; developing trust, listening, being open to staff, adopting a personal approach, and dealing with people's personal issues with sensitivity; gives time to listen to staff with problems or worries relative to work or personal issues; develops a sense of trust with staff.	<u>Anglia 'Negative' Criterion</u> **Undermining of others** Undermines or dismisses the efforts of staff; exhibits threatening behaviour or other intimidating style of management; fails to be open, honest, forthright and up front in their communications and dealings with people; <u>NHS Trust 'Negative' Criterion</u> **Self serving** Achieving own aims and interest through manipulation and politicking at the expense of other people; overrides colleague managers, goes behind their backs and over the heads of other managers **Undermining of others** Undermines or dismisses the efforts of staff; exhibits threatening behaviour or other intimidating style of management; fails to be open, honest, forthright and up front in their communications and dealings with people; engages in bullying and humiliates their staff. **Negative and Undermining Approach Dictatorial Autocratic Management** Closed to discussing/answering staff concerns or queries; bullies and humiliates staff, exhibits threatening

			behaviour and intimidating style of management; parades and over emphises negative views. **Avoidance and ignoring behaviour** Ignores hospital policies/ and attempts to bypass the system ; fails to follow correct/appropriate procedure; fails to be open, honest, forthright and up front in their communications and dealings with people; refuses to admit to his/her own mistakes or errors in judgment.
5	<u>Local Government</u> **Empowers, develops potential** Trusts me to take decisions; initiatives on important issues; delegates effectively; enables me to use my potential <u>NHS</u> **Empowers others to lead** Trusts staff to take decisions/ initiatives; delegates effectively; encourages staff to develop their leadership by delegating effectively and enabling hem to use their potentiaL	<u>Anglia 'Positive' Criterion</u> **Effective delegation/empowerment** Gives full responsibility to subordinate managers empowering them to run units, specialist projects or team budgets; manages people unobstrusively allowing them to get on with the job without constant supervision; encourages staff to take on responsibilities normally associated with higher grades and allows people to set up and run projects <u>NHS Trust 'Positive' Criterion</u> **Empowerment and delegation** When staff are in conflict with one another, encourages them to work through their own problems; gives staff the freedom/support to perform work as they see fit in their (*own*) area; proactively delegates and is effective when delegating roles and responsibilities; in the planning of change involves staff in discussion and decision making	<u>Anglia 'Negative' Criterion</u> **Depriving individuals of recognition, reward and developmental opportunities** Takes all the credit for success achieved by own team; refuses to give rewards; prevents or prejudices other peoples chances of success <u>NHS Trust 'Negative' Criterion</u> **Dictatorial/autocratic management** **Undermining of others** Undermines or dismisses the efforts of staff; engages in bullying and humiliates their staff.
6	<u>Local Government</u> **Inspirationl networker and promoter** Has wide network of links to external environment; effectively promotes the work/avhievement of the department to the outside world; is able to communicate effectively the vision of the department/authority to the	<u>Anglia 'Positive 'Criteria</u> **Communicates and consults widely and involves people** Proactively disseminates important information about organisational changes that affect people; keeps them fully informed; encourages involvement; initiates early consultation; includes team members in meetings and projects with higher level managers; involves them in decision making and problem solving, actively seeks their ideas and suggestion]	

	public NHS **Inspirational communicator, networker and achiever.** **Charisma** Communicating the vision of the organisation..passionate commitment???; Partnership in the process by actively networking, gaining their confidence and support through sensitivity to their needs; celebrating their successes; exceptional charisma skills; ability to keep in close contact with others; encouraging others to join in	NHS Trust 'Positive' Criteria **Open, active supportive leadership** Handling difficult personal issues with sensitivity and taking action to help and support staff; being approachable; developing trust. **Inclusive Decision Making** Involving staff in decision making; canvassing the opinions of staff.	NHS Trust 'Negative' Criteria **Failing to inform other people** Neglects to inform own and/or other staff of things that are going to happen; is unwilling to discuss or answer questions regarding staff concerns or queries; fails to inform the right people at the right time; fails to be open, honest, forthright and upfront in their communications and dealings with people. **Not informing people** Failing to inform and notify the right people at the right time; failing to impart or supply accurate reliable consistent or up to date information;
7	Local Government **Accessible, approachable** Accessible to staff at all levels; keeps in touch using face to face communication NHS **Accessibility, approachability and flexibility** Reflects style that is not status conscious; great importance of face to face communication; ensures staff at all levels feel	Anglia 'Positive 'Criteria **Communicates and consults widely, and involves people** Proactively disseminates important information about organisational changes that affect people; keeps them fully informed; encourages involvement; initiates early consultation; holds frequent meetings with team; actively seeks their ideas and suggestion NHS Trust 'Positive' Criteria **Open and personal management approach or style** Exhibits willingness to listen to the ideas of staff; uses a personal approach to leadership and takes the time to get to know staff on a personal level; develops a sense of trust with staff; in the planning of change involves staff in discussions and decision making; in change situations proactively canvasses and listens to the opinions	Anglia 'Negative' Criterion **Lack of emotional control adjustment** Publicly reprimands, criticises or confronts people in an antagonistic manner; displays irrational, abusive, volatile, domineering, behaviour or an overbearing manner towards team members; manages in a dictatorial and autocratic manner; adopts an uncooperative attitude to others; excuses self from blame and blames others when things go wrong NHS Trust 'Negative' Criterion **Dictatorial/autocratic management** Undermines or dismisses the efforts of staff; exhibits threatening behaviour or other intimidating style of management; engages in bullying and humiliates their staff.

	comfortable and able the access the individual	of staff; developing trust, listening, being open to staff, adopting a personal approach, and dealing with people's personal issues with sensitivity; gives time to listen to staff with problems or worries relative to work or personal issues; develops a sense of trust with staff. **Active supportive leadership** Exhibits willingness to listen to the *good*) ideas of staff and gives them backing and support; gives time to listen to staff with problems or worries relative to work or personal issues; uses a personal approach to leadership and takes the time to get to know staff on a personal level; develops a sense of trust with staff.	
8	<u>Local Government</u> **Clarifies boundaries, (keeps others informed) and involves others in decisions** Defines boundaries of responsibility; involves staff in decisions; keeps people informed of what is going on <u>NHS</u> **Ability to draw people together with a shared vision** Having a clear vision/strategic direction in which the 'leader; actively engages the internal/external stakeholders in developing; drawing others together in achieving the vision	<u>Anglia 'Positive' Criteria</u> **Communicates and consults widely and involves people** Proactively disseminates important information about organisational changes that affect people; keeps them fully informed; encourages involvement; initiates early consultation; holds frequent meeting with team; includes team members in meetings and projects with higher level managers; involves them in decision making and problem solving, actively seeks their ideas and suggestion <u>NHS Trust 'Positive' Criteria</u> **Organisation and planning** **Informing people** **Inclusive decision making** Makes good use of staff resources well to aid in decision making; exhibits willingness to listen to the ideas of staff; when making decisions gathers all relevant facts and judges things on their merits; develops a sense of trust with staff; in the planning of change involves staff in discussions and decision making; in change situations proactively canvasses opinions and listens to the opinions of staff.	<u>NHS Trust Negative Criterion</u> **Failing to inform other people** **Not giving, receiving or using information** Neglects to inform own and/or other staff of things that are going to happen; is unwilling to discuss or answer questions regarding staff concerns or queries; fails to inform the right people at the right time; fails to impart or supply accurate, reliable, consistent, up to date information;

		Inclusive decision making Involving staff in decision making, listening to their ideas, canvassing opinions and empowering them to make their own decisions	
9	<u>Local Government</u> **Encourages critical and strategic thinking** Encourages the questioning of traditional approaches to job; encourages people to think of wholly new approaches or solutions to problems; encourages strategic rather than short term thinking <u>NHS</u> **Encouraging challenges to the status quo. Supporting a development culture** Clarifying long term corporate direction; encourage challenge to the status quo; encouraging (empowering) individuals to challenge tradition, to take risks and express dissatisfaction		<u>Anglia 'Negative' Criterion</u> **Resistance to change** Resists change and new working practices even to the point of sabotage; refuses to implement new systems of communications;

It is interesting to note that both Factor 2 and Factor 9 are strategic in focus, and clearly associated with organisational change/transformational issues. In many organisations these issues are typically addressed primarily and sometimes solely by senior and top managers, rather than by middle and front line managers. However, even a cursory glance at the labels and behavioural contents of the other seven factors in the TLQ typology, as given in Table 12, suggests most would be as relevant to lower levels of management as they are to the higher levels. Furthermore, it appears from the above comparative analysis that a large majority of the categories of managerial/leadership behaviour (criteria or factors) found to be consistent with success in all three types of public sector organisations studied, are more or less the same at all levels of management. Although specific items of managerial behaviour comprising each category differ contextually in some respects, the perception and judgment from all perspectives as to their association with effectiveness and ineffectiveness tends to be held in common.

4.3 DEVELOPING A GENERIC MODEL OF MANAGERIAL AND LEADERSHIP EFFECTIVENESS

The meta-level analyses reported in Section 4.1 and Section 4.2 reveal a very high degree of internal and external congruence of meaning and generalisability of findings for virtually all of the criteria of managerial effectiveness obtained from the three empirical research studies. The internal consistency and robustness of the results provide very strong evidence as to the existence of generic criteria of managerial effectiveness. This supports the notion of the universally effective manager as reported by Bennett and Langford (1983). Furthermore, in light of the fact that increasing numbers of management researchers and writers refer to management and supervisory leadership as being one and the same phenomena, as reported in Section 2.1.2, the findings from the present study provide sound empirical support for the notion and existence of 'generic leadership functions' of the kind House and Aditya (1997, p.444) claim "are necessary for theoretical understanding of the leadership phenomena". Based on the meta-level analysis of the combined sets of criteria obtained from the MPhil, Anglia and NHS Trust studies respectively, as set out in Table 12 (Section 4.2.3), the following Generic Model of Managerial and Leadership Effectiveness is offered as a starting point for developing a generic and universalistic theory of management and leadership to challenge the predominant 'contingency' models currently in use (see Table 13). This new model comprises of six positive criteria. These indicate the range and type of behavioural manifestations that managers/leaders need to exhibit if they are to be deemed particularly effective by their superiors and subordinates. In contrast, there are five criteria indicating the range and type of managerial/leader behaviours that most observers associate with least effective or ineffective management/leadership. These can be regarded as the behavioural contra-indications of managerial/leadership effectiveness that need to be avoided.

This new model provides significant support for those who believe in generic managerial and leadership competencies such as Thomson, Lindsay and Stuart (1996), and goes some way towards defining an ideal theory for a competence framework which they (p.49) argue needs in essence to be "generalisable, yet simple".

Table 13: A Generic Model of Managerial and Leadership Effectiveness

	Criteria/Functions of Managerial and Leadership Effectiveness
	INDICATIONS Positive Criteria/Functions
1	**Effective organisation and planning/Proactive management** Is well organised and well prepared for situations; thinks ahead and makes sure things are done in good time; does the necessary groundwork research and gathers all the facts; produces detailed plans and procedures; is well prepared for meetings and runs them efficiently and effectively with good agendas; makes effective use of systems and resources; sets and maintains high standards for self and others; ensures people follow procedures and expects them to be well prepared; takes initiative to resolve problems and proactively confronts difficult /sensitive issues.
2	**Participative and supportive leadership/Proactive team leadership** Provides active support and guidance to staff; responds immediately to requests for help; provides backing and personal support to staff confronted with particularly difficult/stressful operational situations; takes time to get to know staff; creates a climate of trust; actively listens to their concerns, worries and anxieties; gives praise when due; defends staff from unfair criticism/attack and protects their interests; provides coaching and training; supports the team through its problems and helps team members learn from their mistakes.
3	**Empowerment and delegation** Encourages staff to take on new responsibilities; gives them the freedom to make own decisions without close supervision; allows staff to develop and experiment with own ideas; encourages and empowers them to run their own unit/project and to work through their own problems; proactively and effectively delegates.
4	**Genuine concern for people/Looks after the interests and development needs of staff** Responds quickly and appropriately to staff problems; deals with difficult or personal issues concerning staff and handles them with sensitivity; allocates work to staff and self fairly; argues a strong case for obtaining resources in support of staff wishing to develop new ideas; fights hard for the department; promotes the importance or needs of the department; brings to the attention of top management the achievements/contributions of staff; congratulates and praises staff; recognizes, nurtures and develops the latent abilities and potential of staff; initiates, promotes and supports their personal and career development; identifies the training needs of team members; personally takes the time to train, coach and mentor team members]
5	**Open and personal management approach/Inclusive decision making** Actively listens to the views and opinions of staff; encourages staff to become involved in planning, decision making and problem solving, particularly in change situations; invites staff to recommend how to best spend the departmental budget; includes team members in meetings and/or projects which normally would have involved higher grades of staff; uses a personal approach to managing; takes the time to get to know staff and develops in them a sense of trust].
6	**Communicates and consults widely/Keeps people informed** Consults and discusses change plans with staff; proactively canvasses and seeks their ideas; holds frequent meetings with staff; gathers all relevant facts and judges things on their merits; proactively disseminates within the team/unit major documents of importance; on major change initiatives conducts special events to communicate with staff and keep them informed

	CONTRA-INDICATIONS *Negative Criteria/Functions*
1	**Shows lack of consideration or concern for staff/Ineffective autocratic or dictatorial style of management** Shows lack of interest in or concern for staff; allocates work unfairly placing unrealistic workloads/expectations on them; allows staff to operate with inadequate resources or denies them the resources that others in the organization receive; is insensitive to individual needs; is unwilling to listen to staff concerns or answer their queries; ignores people problems hoping they will go away; manages in a dictatorial and autocratic manner; forces or imposes changes on staff with insufficient or no consultation, takes action without considering the effects on staff.
2	**Uncaring, self serving management/Undermining, depriving and intimidating behaviour** Withholds or fails to impart/supply/notify the right people at the right time with accurate, reliable, consistent information; allocates work unfairly to self; encourages favouritism; is unfair in their dealings with people; takes all the credit for departmental achievements, omits to thank or give recognition or praise for the good work of others; excuses self from blame but blames others when things go wrong; adopts a narrow parochial, selfish attitude; off loads problem staff on to other managers; is not open, honest, forthright and up front in their communications; or dealings with people; exhibits manipulative, politicking behaviour; goes behind peoples backs and overrides colleagues ; criticizes and derogates people behind their backs; undermines staff by dismissing their efforts, labels them with their weaknesses, bawls them out in front of peers and subordinates,; is domineering, dictatorial, autocratic and overbearing; engages in antagonistic, intimidating, threatening, abusive, humiliating, bullying, behaviour ; acts in an irrational ,volatile manner.
3	**Tolerance of poor performance and low standards/Ignoring and avoidance** Condones ineffective /poor performance; fails or delays taking action to resolve problems of persistent under performing staff; fails to recognize and attend to priority issues;; procrastinates; turns a blind eye to problems; allows a 'next week will do' attitude to prevail in the department; fails to organize self and others; fails to inform or notify the right people at the right time; forgets to let staff know of meetings until the last minute or inform/invite all the right people; fails to follow correct or appropriate procedures; ignores policies and tries to bypass the system
4	**Abdicating roles and responsibilities** Makes self absent at critical times when a subordinate, team member or colleague manager needs help, guidance, support, or advice; avoids responsibilities by leaving own managerial work unattended; fails to give sufficient time to paperwork and the administrative aspects of management; shows disinterest in his/her post; abdicates roles and responsibilities; delegates to staff own managerial responsibilities, over loads staff to the point of personal abdication; refuses to recognize problems or deadlines ; avoids making decisions or taking necessary action.
5	**Resistant to new ideas and change/Negative approach** Insists on sticking to traditional methods; takes no interest in keeping up to date with developments; exhibits defensiveness and reluctance to carry out any critical analysis of current methods; resists change and new working practices even to the point of 'sabotage'; refuses to implement new systems.

5: DISCUSSION

5. 1 Introduction

The author believes the three empirical studies forming the basis of the present PhD study, in combination, have gone some way to addressing the lack of research into managerial effectiveness and leadership effectiveness as discussed in the management literature by a wide range of expert commentators including, for example, Martinko and Gardner (1985), Cammock, Nilakant and Dakin (1995), Willcocks (1997) and Barker (2000). The work also goes a long way to addressing various concerns and criticisms expressed by other writers regarding the quantitative survey-based research methods predominantly used to date by most researchers for researching managerial and leadership effectiveness. Conger (1998) claims such methods have resulted in sterile research findings of little utility. In contrast, by adopting a 'grounded theory mindset' for the Stage 1 phase of each of the three empirical studies comprising the present meta-level analytic study, which has partially met the call from Alvesson (2002), Parry (1998), Avolio, Bass and Jung (1999) and others for grounded theory approaches to researching managerial and leadership effectiveness, the author has generated a rich source of empirical findings. The rich data so generated has been highly relevant and useful to the collaborating organisations that provided access to enable the internal research to be carried out. Furthermore, by using virtually the same research methods for all three studies, the work has provided sound examples of 'replica' studies of the type specifically called for by Kim and Yukl (1995), House and Aditya (1997), Parry (1998), Conger (1998),and Avolio et al. (1999). In their different ways these writers argue future research should be aimed at moving towards a more formal general theory of leadership and a generic theory of managerial effectiveness.

As discussed previously, the Critical Incident Technique (CIT) was used to obtain from both managers and non-managers specific examples of observed managerial behaviour that, at the time of their observation, were deemed by the observers and observees to be examples of effective or ineffective management. However, only those that strictly fell within the understanding of a critical incident as defined by Flanagan (1954) were used for the respective research studies, namely incidents where the purpose and intent of the incident can be seen to be clear, and its consequences sufficiently definite to leave little doubt concerning its effects. This qualitative approach has gone a long way to addressing the major shortcomings of the dominantly used quantitative approaches and methods referred to by Conger (1998). He argues that management and leadership research should be about measuring observed behaviour and their effectiveness, rather than the measurement of attitudes which to date has been the focus of most survey-based leadership/management studies. Clearly the CIT method is ideally suited for identifying specific managerial and leader behaviours causally linked to effectiveness, or conversely to ineffectiveness. Using CIT within the framework of the grounded theory approach has also addressed recent criticisms concerning the predominant 'frequency of observed managerial behaviour' studies, as voiced for example by Shipper (1991), Yukl (1994), Vinkenburg (1997) and Shipper and White (1999). As previously discussed in Section 2.1.5, these writers argue that research should focus on the 'quality' or 'mastery' of specific behaviours associated with effective management, rather than on the 'frequency' of observed behaviour, or on activities. Clearly the present PhD study, and its three underpinning empirical studies, have been concerned with the 'quality' dimension of managerial/leader behaviour by virtue of the causal linkages to effectiveness and ineffectiveness. However, the issue of 'mastery' has not been addressed. It can be concluded from the forgoing discussion that the present study is at the leading edge of the type of qualitative management /leadership research recently called for in the UK and US management literature (see Yukl 1994; Kim and Yukl 1995; House and Aditya 1997; Conger 1998; Alvesson 2002), and is making a distinctive and original contribution to knowledge. However, there are other substantive arguments to support and justify this claim to having advanced the field of knowledge, as set out in Section 5.2.

5.2 Contribution to knowledge

5.2.1 Internal generalisability of the case study research findings: *a challenge to the 'perspective-specific' models of managerial effectiveness*

As discussed in Section 2.1.6, Van Der Velde, Jansen and Vinkenburg (1999) suggest that the ways in which managers are perceived and evaluated by others are important determinants of managerial success. However, subordinates, peers, superiors and self-perceptions often differ in their judgment of behaviours and perceptions constituting managerial effectiveness. This view is supported by Shipper (2000), who recommends that managerial effectiveness should be examined from the perspective of both superiors and subordinates. As described in Section 3, multiple perspectives were adopted for both the Anglia and NHS Trust studies with the express purpose of exploring potential differences in the perceptions of managerial effectiveness between incumbent managers, their superiors, and their subordinates. As previously mentioned, although a multiple perspectives approach was structured into the original research design of the MPhil study, circumstances outside the control of the researcher/author prevented data being obtained for the factor analysis stage of the study from perspectives other than the top down perspective of Head Teachers and Deputy Head Teachers.

The results of the meta-level analyses carried out on the findings from the Anglia and NHS Trust studies, as reported in Section 4.1.1 and Section 4.1.2 respectively, reveal very high levels of sameness and similarity between the perceptions and judgments of managers concerning what constitutes effective or ineffective management, and those of their immediate superiors. In the case of the NHS Trust study very high levels of sameness and similarity were revealed between the perceptions and judgments of subordinates and superiors, as well as between those of managers and subordinates. The empirical evidence strongly suggests the vast majority of criteria of managerial effectiveness identified are highly congruent and generalized across the different levels of management and staff within these two case study organizations. In both studies there is very limited evidence of 'perspective-specific' criteria.

However, the latter finding does support to a limited degree the conclusions of American researchers such as Shipper (1991, 2000), Atwater and Yammarino (1992), Tsui and Ashford (1994), and European researchers such as Van Der Velde, Jansen and Vinkenburg (1999), who argue that the judgments and perceptions of behaviour constituting managerial effectiveness of superiors and subordinates often differ from the self-perception and judgment of managers themselves. Even so, essential differences in perceptions and judgments across the full range of manager and non manager perspectives revealed at the factorial level by both studies are extremely small in number, and only marginally greater at the behavioural level. What is striking in the NHS Trust study is the strong coincidence of perception between the perspectives of superiors and subordinates respectively. Both identify 'Organisation and Planning', 'Active Supportive Leadership' and 'Giving Support to Staff' as the most significant criteria for managerial success, and associate 'Undermining', 'Ignoring and Avoiding', and 'Dictatorial/Autocratic/Intimidating' behaviour with managerial failure. Generally, the perceptions and judgments of managers themselves are also the same, or very similar, with near identical criteria having been identified. However, in contrast they place greater emphasis on the 'soft' managerial effectiveness criterion 'Active Supportive Leadership' as the principal factor determining success, with the 'hard' criterion 'Organisation and Planning' trailing somewhat behind in terms of its explanatory power within the self rating factorial structure. The reason for this difference in emphasis is unknown. This requires further investigation, particularly bearing in mind recent research which shows staff are more satisfied with their manager and their job when their perceptions of their manager match the manager's self perceptions (Alimo-Metcalfe, 1998). Overall, the results strongly challenge the work of Van der Velde, Jansen and Vinkenburg (1999) who claim there are significant differences in perception between leaders and followers, between managers and subordinates, and between managers and superiors.

Another striking feature from both studies is the fact that the vast majority of criteria of high and low explanatory power appear to be held in common, not only within the two respective organizations, namely the Anglia Region of HMCE and the NHS Trust hospital, but also between them. This points to a significant amount of external generalizability. This is discussed in the following section.

5.2.2 External generalisability of the identified criteria of managerial effectiveness: *a challenge to the 'context-specific' and 'situation-specific' models of managerial effectiveness*

As outlined in Section 2.1.7, little evidence can be found in the management literature to demonstrate the generalisabiliy of research findings relating to the issue of managerial and leadership effectiveness (House and Aditya 1997; Axelsson 1998). Furthermore, it has been noted by some expert commentators that weaknesses in research design has precluded any meaningful comparisons being made between the findings of various studies (Kim and Yukl 1995; Avolio, Bass and Jung, 1999). Hence 'contingency' models and approaches dominate current theory, thinking and research in the field of management and leadership. However, by adopting a case study approach using an identical/near identical research design for all three studies, and by focusing the research on the same levels of management within each organisation, namely middle and front line managers, the author has addressed the major complaint of Kim and Yukl (1995) who draw attention to the fact that different researchers have invariably examined different sub-sets of behaviours which has made it difficult to compare findings from one study to another. In contrast, it has been methodologically possible to compare the results of the three empirical studies comprising this PhD study by virtue of the research designs and methods having been virtually the same. Furthermore, although several different job analysts/researchers were involved in gathering the critical incidents from observers in each of the three respective collaborating organizations, they worked under the guidance, supervision and central control of the author. This has been a major strength of the present study. It has addressed the major concern of Avolio, Bass and Jung (1999) who argue that the lack of central control over the consistency of procedures utilised has been the cause of limitations on the generalisability of findings in various studies.

Overall the degree of sameness, similarity, coincidence and congruence of meaning between the findings at both the factorial and behavioural levels has been very high, as revealed in Section 4.2. Firm conclusions can be drawn from this substantial volume of empirical evidence derived from the various meta-level analyses. These reveal the findings to be very strongly generalised to each of the three collaborating organisations, but also to the findings of other researchers who have used similar research methods in other parts of the UK public sector. This gives cause to believe that the results provide an empirical base from which to begin the process of building and moving towards a generic theory of managerial and leadership effectiveness. As set out in Table 13, this tentative new theory is represented in the form of a generic model. The fact that the three studies were carried out in three very different types of organisations within the public sector suggests the results are likely also to be generalised across the whole sector. However, at this stage, one cannot generalize the findings to private or other sector organisations because, as yet, no comparable studies have been completed. Never the less, the results strongly demonstrate the potential universal characteristic of managerial and leader behaviours as postulated by House and Aditya (1997), at least within the public sector. This supports the views of those who believe in the notion of the universally effective manager, such as Woodruffe

(1992), Thomson, Lindsay and Stuart (1996), Bass (1997), and House and Aditya (1997). It also challenges the thinking of those who subscribe to the 'contingency' theories of management and leadership such as Burgoyne (1990), Harrow and Willcocks (1990), Willcocks (1992) and Flanagan and Spurgeon (1996).

The results challenge in particular the views of Flanagan and Spurgeon (1996, p.96) who, having carried out their research within the NHS, claim that "there can be no single clear picture of effective management or effective managers". However, as the meta-level comparative analysis between the NHS Trust study results and the New Model of Transformational Leadership offered by Alimo-Metcalfe and Alban Metcalfe (2000) and Alban-Metcalfe and Alimo-Metcalfe (2001) has revealed, there are high degrees of coincidence, similarity, and generalisability. While at the behavioural level the NHS Trust findings lend a degree of support to the 'contingency' views of Flanagan and Spurgeon, at the factorial level the results overall support much more strongly the notion of the universally effective manager. This points towards a generic theory of managerial and leadership effectiveness as represented by the 'generic model' revealed and discussed in Section 4.3.

5.2.3 Limitations of the Present Study

The robustness of the research design used for all three empirical studies, plus the high degree of internal consistency, reliability and validity of findings within and across the studies, suggests something of real significance and originality has been produced. However, there have been a number of factors applying to each of the studies, some specific and others held in common, that have placed limitations on what can be deduced from the respective findings of the three empirical studies, and from the results of the various meta-level analyses.

For example, the MPhil study used principal component analysis for reducing and classifying the data, and not alpha factor analysis. Furthermore, at the time this study took place in 1985 to 1987, the author had not thought about analyzing the 'positive' and 'negative' data separately, whereas this became standard practice for the subsequent studies. It is possible that if the original BIQ data were to be factor analyzed again, but using the identical factoring methods as used for the Anglia and NHS Trust studies, then an even higher degree of sameness, similarity, and generalisability of findings would likely emerge. This view is supported by the fact that a direct comparison of the behavioural items comprising the BIQ instruments, created from the critical incidents obtained for each of the three respective studies, reveals many identical/near identical behavioural manifestations of effective and ineffective management/leadership. It is recommended that such a study should be undertaken. Furthermore, a replica study should be carried out within the same Local Education Authority (LEA) plus several other LEAs in order to verify the findings over time. Although Hamlin (1990) postulated that some of the identified criteria might be time sensitive, the present meta analysis of the identified MPhil universal criteria suggest otherwise. This can only be verified by a repeat study. Should this be carried out, it is recommended that data should be gathered not only from a top down perspective as in the original study, but also from the self and bottom up perspectives.

The main limitation of the Anglia study was the fact that no data was gathered from a bottom up perspective. In hindsight this was clearly a regrettable omission. It is recommended for the future that researchers of managerial /leadership effectiveness should gather data from all three perspectives, namely the top down, self, and bottom up perspectives. Additionally, it might be worthwhile exploring management and leadership from the peer perspective.

A limitation of the NHS Trust study was the fact that the number of completed BIQs obtained was smaller than expected and planned for. Although the achieved ratio of completed BIQs (*subjects*) to the respective number of positive and negative behavioural items (*variables*) comprising the BIQ was about 2:1, some experts would argue that to achieve truly robust factorial solutions, subject to variable ratios of 5:1 or more should be obtained. Although this might be the ideal, researchers are inevitably constrained by what can practically be achieved within any given organizational context at a given moment in its history. However, some experts claim that a 1:1 subject to variable ratio can be adequate to achieve stable factorial solutions, whilst others claim that factors with four or more loadings greater than 0.6 are reliable regardless of the sample size (see Field 2000, p.443). Most of the criteria obtained by the NHS Trust study had more than four loadings greater than 0.6, as also was the case for the two preceding studies. It should be noted that this perceived limitation of the NHS Trust study was also manifest in the two preceding studies, though to a lesser extent.

5.3 Contribution to the field of HRD practice

As explained previously, both the Anglia study and the NHS Trust study were conducted within a partnership research arrangement of the kind advocated by Jacobs (1997), namely an HRD Professional Partnership. This section is concerned with describing and explaining how the results have been applied in practice. In particular, attention is drawn to how the findings were used directly by the respective HRD practitioners to make a difference to their professional practice for the benefit of their own organizations. Use of the research has been reported widely in a number of the articles comprising Section 1: Selected Portfolio of Peer Reviewed Publications in Part II of this PhD by Published Work study, but reference will also be made to supplementary supporting testimonial evidence. Additionally, this section reveals how the author, in his role as an HRD scholar within the two partnership research studies, has used the research results and his experience of doing the research to inform, influence, and shape the professional practice of other HRD professionals. This has been achieved through his various writings on evidence-based and research-informed practice in the fields of management and HRD. Furthermore, building upon the original definition of an HRD Professional Partnership as offered by Jacobs (1997), attention is drawn to an original theoretical model of HRD Professional Partnerships in practice. Insights for the creation of this model stemmed directly from the author's personal experience of engaging in the partnership research comprising the present study. The model provides a conceptual framework that gives insight into the nature of HRD Professional Partnerships, their inner workings, the inter-twined nature of the respective stakeholder relationships, the consultancy/research processes and outputs, and the scope that such partnership research arrangements afford in providing a bridge between fortress research and fortress practice. In other words, its contribution towards the closing of the much talked about research-practice gap. This model has been published widely in several influential HRD related journals and textbooks (Hamlin 2001d; Hamlin 2002d).

5.3.1 HRD professional partnerships: an original conceptual framework

Various authors in the UK have called for more research informed approaches to human resource development and management development (Jacobs and Vyakarnam 1994; Davies 1996; Hamlin and Davies 1996, 2001). Others have argued the case for more internal research in support of organisational change programmes (Quirke 1995; Davies 1996; Hamlin and Reidy 1996, 1997; Hamlin, Reidy and Stewart 1997). Active engagement with internal research by HRD practitioners, preferably in collaboration with HRD academics to reinforce the academic rigour is a vital requirement in the field of HRD practice. The key point is that HRD collaborative partnerships, involving support from top management, can lead to a strong empirical base of evidence that will enhance significantly the relevance and effectiveness of HRD practice.

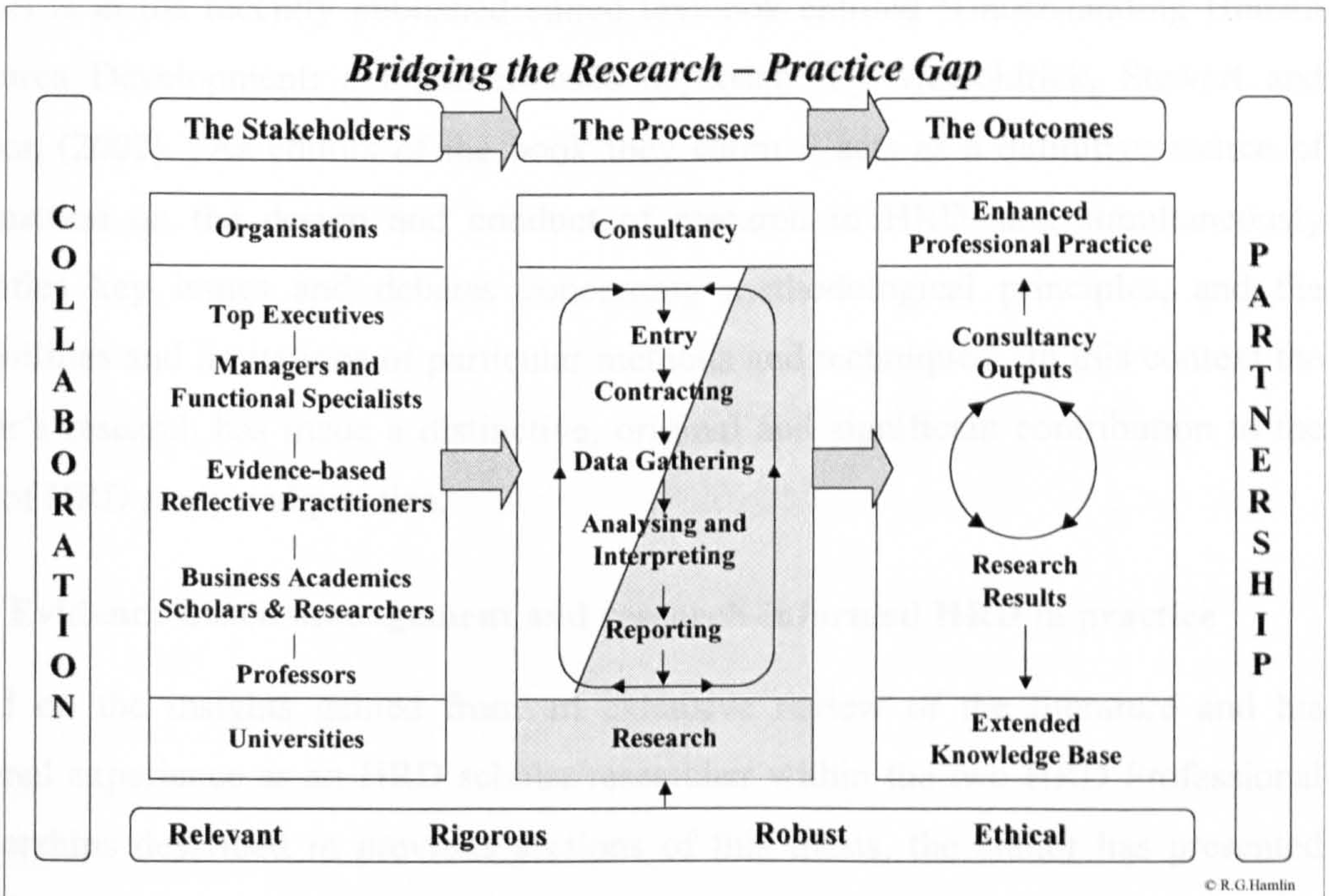
In the USA Swanson (1997, p.12) advocates that HRD professionals should advance their professional practice by becoming truly expert practitioners through what he calls "backyard research" because, as he claims, HRD void of operating principles, theories and good research to guide the HRD effort leads to poor professional practice and undermines the whole credibility of HRD. Jacobs (1997, p.47) argues that "the HRD field depends on research being considered an essential counterpart to practice, not an optional activity when convenient nor an extravagance when financially possible", and strongly advocates HRD collaborations between organisations and universities. However, as already discussed, Jacobs also advocates that these should be professional partnerships in which the partners recognise that HRD scholars and HRD practitioners enter such partnerships with their own respective goals, that although these may differ they will complement each other, and that maintaining the integrity of the goals for the common good is important. Thus, in HRD professional partnerships, there is a dual goal to advance the HRD field and improve the organisation through the findings and application of rigorous internal research.

The author's experience of the Anglia and NHS Trust studies suggests HRD professional partnerships can provide the means for closing or bridging the HRD research-practice gap which, by so doing, increases the chances of improving the success rate of strategic change initiatives, as reported by Hamlin and Reidy (1996, 1997), Hamlin, Reidy and Stewart (1997a, 1998, 1999), Hamlin, Reidy and Priddey (1998), and as testified by Reidy (2001) and Dick Shepherd who was the Executive Head (The Collector) of the Anglia Region Executive Unit (Anglia Collection) of HM Customs and Excise from 1991 to 1998 (see the Testimonial Statement of Dick Shepherd in Part II, Section 2). In his testimonial statement Dick Shepherd explains that his "managers were able to use the findings [*from the Anglia internal managerial effectiveness research*] at team meeting events to promote openness and the concept of continuous improvement", and that "it was the reality of the [*research*] findings that made the impact with people and helped them adjust attitudes and to cope with the enormous changes that were happening". He then goes on to claim that "a key factor right through this whole process [*strategic change*] was the close partnership between myself and the research team. The clear understanding was that the research should be carried out independently with rigour and integrity to as high an academic quality as was necessary to provide provable results. My part was to commission it, facilitate its freedom in its operation and ensure that the questionnaire tool (*BIQ*) and results were directly related to the working life and language of the Department" (see Part II, Section 2: Testimonial Evidence).

Building upon the ideas of Jacobs (1997), and a number of tentative ideas shared by a group of HRD academics and practitioners attending the 1997 Annual Conference of the UK based University Forum for HRD, plus the personal experiences of actively engaging in partnership research, the author has devised a 'conceptual framework' to illustrate the connection between HRD professional partnerships and the HRD research-practice gap, as illustrated by Figure. 1.

The narrow outside boxes to the left and right of the model are there to remind HRD practitioners and scholars that the joint research effort is not a service contract, but a collaborative partnership where all partners achieve what they want from the research effort. The narrow outside boxes at the top and bottom of the model illustrate the connection between the respective stakeholders who are jointly involved in the active processes of research and consultancy. These need to be relevant, rigorous, robust and ethical if they are to lead to outcomes of maximum value to the interested parties. The large box to the left of centre of the model endeavours to illustrate professional partnerships in which HRD scholars from universities, in collaborative partnership with HRD practitioners, conduct good, internal, organisationally related research to an academic standard. At the centre of this box is the notion of the 'reflective research-informed/evidence-based' practitioner. The large box at the centre of the model draws attention to the cyclical nature of the processes for conducting internal research and consultancy, respectively. These are similar and follow a common sequence of stages from entry to reporting. The outcomes from the research/consultancy activities, as illustrated in the large box to the right of centre of the model, are perceived as being mutually reinforcing. At the outset of an HRD intervention the reflective research-informed or evidence-based HRD practitioner uses best evidence to support his or her decisions. This might mean building a research component into the HRD strategy with the specific intent of using empirical evidence from good internal organisational based research to further inform, shape and measure the required HRD intervention, thereby enhancing the professional practice, as demonstrated by the Anglia study example.

Figure 1 Closing or bridging the HRD research-practice gap through HRD professional partnerships



Source: Bob Hamlin in Organisational Change and Development by Bob Hamlin, Jane Keep and Ken Ash, Financial Times Prentice Hall, 2001. Used with permission of Pearson Education. Copyright 2001 R.G.Hamlin

Building sufficient rigour into the research with the help of an HRD scholar in a professional partnership arrangement, gives the necessary academic credentials required to ensure the credibility and acceptance of the research by people inside the organisation. It also ensures sufficient robustness in the research findings to enable them to be published in peer reviewed academic journals. This HRD Professional Partnership/HRD Research-Practice Gap conceptual framework or model has been published in the form of a WBS Occasional Paper (see Hamlin, Campbell, Reidy and Stewart 1999), and more recently as chapter contributions in two textbooks (see Hamlin 2001d; Hamlin 2002d). The respective chapter contributions in both books advocate arguments in support of evidence based practice in the field of HRD, and extol to reflective research informed HRD practitioners and HRD scholars the benefits of HRD professional partnerships (see Part III, Section 1).

These contributions to practice, directly derived from and informed by the two partnership-research studies that part underpin this PhD submission, sit alongside the work of some of the leading UK researchers and writers in the field of human resource development. For example, the author's latest contributed chapter (Hamlin 2002d) is in the recently published edited textbook entitled 'Understanding Human Resource Development: a research-based approach' by McGoldrick, Stewart and Watson (2002). As editors of the book they claim it acts as a definitive source of information on the design and conduct of research in HRD, and simultaneously identifies key issues and debates concerning methodological principles, and the possibilities and limitations of particular methods and techniques. In this context the author's research has made a distinctive, original and significant contribution to the field of HRD study and practice.

5.3.2 Evidence-based management and research-informed HRD in practice

Based on the insights gained from an extensive review of the literature and his personal experience as an HRD scholar/researcher within the two HRD Professional Partnerships described in previous sections of this thesis, the author has presented elsewhere arguments in support of evidence-based approaches to HRD practice. In particular he has promoted the idea that HRD practitioners should endeavour to use best evidence derived from good research to inform, shape, measure and evaluate professional practice (see Hamlin & Stewart 1998; Hamlin, Reidy and Priddey 1998;

Hamlin 2001a, 2001b, 2001d, 2001e; Hamlin 2002a, 2002b, 2002d). Drawing on a wide range of literature relating to evidence based practice within the medical and healthcare professions, including healthcare management, Hamlin (2002d) has adapted the Bury and Mead (1998) definition of evidence based healthcare for use within the HRD profession, as follows:

> "Evidence-based HRD is the conscientious, explicit and judicious use of current best evidence in making decisions about the development, of individuals, groups and organisations, integrating individual HRD practitioner expertise with the best available external evidence derived from systematic research" [Hamlin 2002d pp. 97/98].

Similar to that which applies for Evidence Based Medicine, Hamlin views best evidence as being derived from a combination of good-quality research, consensus of recognised professional experts and/or affirmed professional experience that substantiates practice, quality improvement, operational or evaluation data, and the systematic feedback of opinions or preferences of client managers. However, conceding that for many HRD practitioners the application of evidence-based HRD even at the lowest strength of scientific *(empirical)* evidence will likely be an unrealizable goal for reasons outside their control, he argues this does not mean they cannot be research minded and build a research orientation into their professional practice. As Hamlin (p.98) observes, "many do adopt what is termed a 'research-informed' approach to [HRD] practice". His suggested definition for research-informed HRD is as follows:

> "Research-informed HRD is the conscientious and explicit use of research findings and the research process to inform, shape, measure and evaluate professional practice". [Hamlin 2000d, pp. 98]

The various applications of the partnership research findings resulting from the Anglia and NHS Trust HRD professional partnership studies provide a number of good examples of effective research-informed HRD practice. The value of the managerial effectiveness research to the respective HRD practitioners involved in the partnership research programmes is well illustrated by the testimonial statements provided by Dick Shepherd, Head of the Anglia Region Executive Unit, HM Customs and Excise, and his Research Officer/Internal OD Consultant, Margaret Reid (see Part II Section 2). These testimonials support the author's contention that his original investigation of managerial effectiveness research carried out in partnership with

Shepherd and Reidy has made a distinctive contribution to HRD and management practice. Outlined below are extracts from the testimonial statements of Shepherd and Reidy respectively.

Direct Quotations from the Dick Shepherd Testimonial Statement

"To cope with the demands for ever-increasing outputs and for more openness in our dealings with the public I needed to change the culture of the organisation. I used group seminars, walking the floor, publishing my 'Expectations' document and was making progress and lifting outputs. But I felt I did not really know how deep the changes were penetrating-there was always an element of telling me what I wanted to hear in the feedback I was receiving. It was at this stage in 1995 I commissioned the Critical Incident Analytical [*Managerial Effectiveness*] research from Bob Hamlin at Wolverhampton University, Jim Stewart of Nottingham Trent University, and Margaret Reidy of Nottingham Trent University/HM Customs and Excise. My initial hope was to find the patterns of strengths and weaknesses among the managers and team leaders. The Questionnaire [*BIQ*] that was developed was unique in that it was a tool purely directed at our own organization - custom made for Customs People. The results exceeded my expectations for I felt I was getting the real behaviours and attitudes prevalent in all the various parts of the organisation for the first time."

"The nature of the research produced the results in the language of the Department [*HMCE*] and illustrated them with incidents taken from our own activities. I was able to use the emerging results very quickly at my annual management conference where it made a big impact. This was no [*external*] consultant's abstract interpretation using the latest business management technique. This was real. This was us. I had a profile of the attitudes and behaviours in the organisation for the first time based on fact [*evidence*] rather than intuition"

"The research team went on to develop a set of competencies that we were able to use in our local appraisal system to improve managerial effectiveness. They also developed specifically targeted Team Building and Managerial Effectiveness Workshops [*to help facilitate the cultural change*]. I owe a great debt of gratitude to my Researcher (Margaret Reidy) and her academic backer [*Bob Hamlin*] for their application of [*research*] techniques and tools in such a novel partnership approach. The results exceeded all my expectations-and were delivered within time and costing targets."

Direct Quotations from the Margaret Reidy Testimonial Statement

"The managerial effectiveness partnership research, conducted as part of the HRD Professional Partnership between the University of Wolverhampton and the Anglia Region of HM Customs and Excise, has been remarkable in that it has tied in long term with a parallel programme of doctoral ethnographic longitudinal research into cultural change which I [*Margaret Reidy*] commenced in 1993. The two strands of research have produced rigorous and highly rich data of a high and invaluable standard. These have been a tremendous asset mainly in the [former] Anglia region, [now part of the Central England Region], of HM Customs and Excise."

"Reidy's longitudinal research on cultural change was mainly focused on organisational behaviour whereas Hamlin's managerial effectiveness research using the critical incident technique was focused on managerial behaviour. Together both strands of research provided a system of triangulation which resulted in findings unparalleled in the history of the organisation. The unique triangulation showed where one set of findings substantiated the other, particularly at the critical incident phase of the managerial effectiveness research study, and led to extremely robust and ready to use sets of findings even at this preliminary stage (*see the Dick Shepherd quotations above*). The preliminary findings from the managerial effectiveness research [*CIT phase*] helped people to assess their behaviours and attitudes in newer and more in depth ways, whereas the managerial effectiveness criteria resulting from the factor analysis phase of the study led to the identification of managerial competencies that struck a chord throughout the whole organisation. Furthermore, in combination with the findings from Reidy's ethnographic longitudinal study, the managerial effectiveness research enabled complex problems that had plagued the Anglia Executive Unit for decades, to be specifically identified and explained. For instance, the problem of deep rooted resistance to organsational change, often thought to be a problem of history, rooted in strong personal loyalties to long held historical traditions, beliefs and values of HM Customs and Excise, were instead found to be based more in bureaucracy and the built in self protectiveness of bureaucratic systems. This type of finding was a breakthrough. However, the research also revealed organisational and managerial behaviour problems where history was very much a critical factor, such as those concerning pay and grading."

"Additionally, the competencies resulting from the managerial effectiveness research, with the underlying statements of managerial behaviour, have enabled the development of:-

> (i) a wide range of localised practical work-based change initiatives across several regions of HMCE
>
> (ii) advice being given in some instances on the national policies of HMCE regarding cultural change, pay and grading, management competency standards etc
>
> (iii) robust and rigorous questionnaires that have periodically been rolled out and used as a baseline to measure cultural change, and to inform and influence future organisational change programmes
>
> (iv) managerial/leadership and team effectiveness workshops using OD tools and diagnostic instruments designed to help managers and team leaders to hold a mirror up to themselves in order to gauge their own strengths and weakness against the effective and ineffective behaviours (and attitudes) identified by the research.

The work is not yet finished within HM Customs and Excise. The wealth of research data has provided the material and building blocks for many OD and HRD tools and initiatives. The research has grown and developed in itself and further work will provide the basis for yet more tools."

Another example of the relevance and contribution to managerial practice of the author's managerial effectiveness research is that provided by Lawrence Bayley, a practicing line manager within the Pathology Department of the hospital where the NHS Trust study had been undertaken. He used the research findings to create a measuring device for investigating "the connection between evidence-based management practice and the observed improvements in the management of change" (Bayley 2001, pp. 33). As he claims, the questionnaire he produced, based on the NHS Trust criteria of managerial effectiveness, and subsequently used to analyse a change management process experienced within his department, "allowed him to identify key needs for management improvement" (pp.81).

It can be inferred from the examples of application given above that the author's research has gone a long way to addressing the double challenge facing management research that Starkey and Madan (2001, p. S12) argue "must be of high academic quality and of high relevance to users". Clearly, the Anglia and NHS Trust studies provide good examples of Mode 2 Knowledge (M2K) research of the kind called for by Gibbons et al. (1994), Davenport and Prusak (1998), Tranfield and Starkey (1998) and Porras (2000), and more recently by the Academy of Management (2001)

5.4 CONCLUSION

The results of the present study provide a sound empirical base from which to begin building and moving towards a generic theory of managerial and leadership effectiveness. However, more evidence is required before a definitive theory can be offered. This calls for a wide range of replica studies to be carried out, as called for by Avolio, Bass and Jung (1999) and others. To increase the robustness of the authors own work, and to build on from his work, identical replica studies should be carried out not only in other LEAs, in other parts of the British Civil Service, and in other healthcare organisations, but also in other types of public sector, private sector, voluntary sector, and not for profit organisations. To address the concerns of those who question the potential for generalizing criteria of managerial and leadership effectiveness from one national culture to another, and/or the existence of the global universally effective manager (see, for example, Willcocks 1992; Flanagan and Spurgeon 1996; Peterson and Hunt 1997; Hunt and Peterson 1997; Holt 1998; Alimo-Metcalfe and Alban-Metcalfe 2001), it is recommended that identical or near identical replica studies should be carried out. These should be conducted in a range of near identical organisations operating in different countries including for example the USA, the Netherlands, Australia and Japan, where there exists a significant body of research into the issue of managerial and leadership effectiveness. Extending the concept of HRD professional partnership research through a net work of HRD scholars and HRD practitioners in membership of the UK Forum for HRD, and the American based Academy of HRD respectively, may provide a quick and relatively easy way forward, at relatively low cost.

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PART II

THE PUBLISHED WORK

AND

TESTIMONIAL EVIDENCE

SECTION 1: SELECTED PORTFOLIO OF PEER REVIEWED PUBLICATIONS

Sub-Section 1.1

Statement and Discussion of the Author's Relative Contributions to the Publications

STATEMENT AND DISCUSSION ON THE AUTHOR'S RELATIVE CONTRIBUTIONS TO THE RESEARCH AND THE PUBLICATIONS

1. The Empirical Research Studies

a) The intellectual content of the entire MPhil study was the result of the author's own efforts and of no other person. Some assistance was given by Dr L. Pearl of the School of Computing and Information Technology in The Polytechnic, Wolverhampton who helped with the computation of the principal component analysis. This was limited in scale and concerned only the technical aspects of 'factor analysing' the data using the then latest SPSS software available. This contribution was acknowledged at the time.

b) The Anglia study was 'commissioned' research and carried out in partnership with Margaret Reidy, a Research Officer in the Anglia Executive Unit of HM Custom and Excise. She made a major contribution to the gathering of the 1,200 critical incidents during the Stage 1 phase of the research programme after having been thoroughly trained by the author in applying the CIT data gathering method in strict accordance with the way it had been applied for the MPhil study. She also worked with the author during the Stage 3 phase of the research, helping to arrive at a common interpretation of the underlying meaning of each of the factors extracted by the factor analysis, and to ascribe appropriate descriptive labels. Expert assistance in factor analysing the Anglia data using SPSS factor analysis packages was obtained from Richard Jubb, a research assistant and statistician within the WBS Management Research Centre (MRC) who produced the various correlation matrices.

This partnership research was of the kind advocated by Jacobs (1997) and was carried out in the true spirit of his concept of HRD Professional Partnerships. The work was conducted strictly within the design guidelines and parameters set by the author to ensure a consistency of approach, with regular meetings and telephone conversations taking place to check progress and agree next steps. This tight control by the author was considered essential if meaningful comparisons were to be made with the previous MPhil managerial effectiveness study and subsequent studies.

Decisions about the application of the research findings within the organisation were made by the Executive Head of the Anglia Executive Unit, Dick Shepherd, and Margaret Reidy, and not the author. However, the author did provide expert advise as requested on using the results to inform and shape the various HRD/OD tools and techniques subsequently applied as part of Dick Shepherd's organisational change strategy.

c) Although the NHS Trust study was set up as an HRD Professional Partnership, the contribution of the respective HRD practitioners in the research process was very limited. However, the author was assisted during the CIT stage by Fiona Campbell, who was a doctoral level research assistant employed in the WBS Management Research Centre. In a similar way to Margaret Reidy she worked strictly in accordance with the research design guidelines and parameters laid down by the author. This was to ensure the NHS Trust study replicated as closely as possible the Anglia study so that meaningful comparisons could be made. Fiona Campbell helped to administer the Stage 2 BIQs and also provided some assistance during the Stage 3 interpretation phase. However, the latter contribution was very limited in scale. Again, Richard Jubb provided expert computing assistance with the factor analysis of the Stage 2 data.

2. The Co-Authored Publications

Most of the author's publications resulting from his MPhil and Anglia research findings were co-authored. The reason for this was partly because, at the time, it was in the interests of WBS and the author to forge a research orientated 'strategic alliance' with Jim Stewart of the Nottingham Trent Business School (NBS). Jim Stewart had a string of publications to his name, and had achieved high standing within the HRD profession through his many writings. Furthermore, NBS was recognised as a 'centre of excellence' with a very strong research base. Another reason was the fact that the results of the Anglia study had been achieved through a partnership research arrangement, and Margaret Reidy wished to contribute to the publication of the findings that she had helped to reveal.

However, as stated in Part 1, Section 3.3, the author played a predominantly major and pivotal role in the production of all these co-authored publications. This was not only in terms of being the main contributor to the writing of the articles, but also by being the person who identified, approached, and secured commitment from the respective publishers, integrated and edited the contributions of his co-authors, progressed the articles through the peer review process, and managed the on-going liaison and relationship with the publishers through to final publication. Except for the early LODJ (1990) journal article, Jim Stewart did not contribute to the writing but instead was used as a critical reader. This amounted to a 5% or less contribution to the production of each article. The relative contributions made by Margaret Reidy ranged from 40% to 25%, with the author's contributions ranging from 80% to 60%. These percentage contributions have been discussed with and agreed by the respective co-authors who have signed a document to that effect. This has been presented to the University of Wolverhampton. Specific details of these relative contributions are set out in the table below.

The agreed relative contributions made by the respective co-authors to the published work submitted for the present PhD study

	Article References	**Bob Hamlin**	**Margaret Reidy**	**Jim Stewart**
1	**The MPhil Study** Hamlin, B and Stewart,J (1990) Approaches to Management Development in the UK. **LODJ** 11 (5)	80%		20%
2	**The Anglia Study** Hamlin, B and Reidy,M. (1997) Effecting Change in Management Culture, **Strategic Change Journal** Vol 6	60%	40%	
3	**The Anglia Study** Hamlin,B,; Reidy, M and Stewart,J (1997) Changing the Management Culture in One Part of the British Civil Service through Visionary Leadership and Strategic Led Research Bbased OD Interventions **JAMS** 6(2)	60%	35%	5%
4	**The Anglia Study** Hamlin, B ;Reidy,M. and Stewart,J (1998) Bridging the HRD Research-Practice Gap Through Professional Partnerships. A Case Study **HRDI** 1(3)	70%	25%	5%

5	**The Anglia Study** Hamlin, B.; Reidy, M and Stewart,J (1999) Effecting Management Culture Change Through Research –Based Management Development: A British Case Study. **Management Development Forum SUNY Empire State College 2(1)**	70%	25%	5%
	We agree with the percentage contributions indicated above **Signed** **Date**			

SECTION 1: SELECTED PORTFOLIO OF PEER REVIEWED PUBLICATIONS

Sub-Section 1.2

MPhil Research 'Foundation' Publications

Hamlin (1990)
Hamlin and Stewart (1990)

Educational Management and Administration Vol. 18, No. 3 (1990)

The Competent Manager in Secondary Schools

Bob Hamlin

What constitutes managerial competence in secondary schools? This article summarises the findings of an empirical research study that has identified the criteria of managerial effectiveness at HoD level, and outlines both the 'universally applicable' and 'education-specific' competencies required by the competent manager. Implications regarding the selection, appraisal and training of managerial staff in secondary education are discussed. The author is in the Wolverhampton Business School of Wolverhampton Polytechnic.

Over the past decade there has been a growing realisation both inside and outside the education service that school effectiveness is determined to a very large extent by the quality of management within the school (Sterne 1979; Hoyle 1979; Sweeney 1982; Murgatroyd and Gray 1984) and it has been postulated that effective leadership, particularly at the head of department level, is an essential ingredient for and even pivotal to the success of the school (Day 1984; HMI 1984). Other expert commentators have agreed that the daunting challenge facing secondary education arising from the effects of falling school rolls and changes in the political, economic and social climate are placing even greater demands upon school managements, which increasingly calls for a high order of managerial competence and effectiveness not only at the headteacher level, but also throughout the whole of the school management team (Wragg 1982; Dennison 1985; Paisley 1984; Harling 1984; Bloomer 1984; Tyldesley 1984; Morris and Murgatroyd 1986; Handy and Aitken 1986).

Unfortunately little is known about what actually constitutes managerial competence and effectiveness in schools as very little research has been carried out into this aspect of education management (Bridges 1982; Hoyle 1979 and 1986). In contrast a considerable amount of empirical research has been conducted in other spheres of management, though this has been done mostly in the USA with only a little having been done in the UK. Much is now known about leadership and managerial competency at different levels of management in a wide cross-section of industrial, commercial and public sector organisations, including educational institutions in the USA, and it has been demonstrated that some of the factors influencing the effectiveness of managers are common across jobs and organisations. The extent to which the 'universally effective manager' exists has been illustrated (Bennett and Langford 1983).

Recent UK Research In Education Management

Recently the findings of a significant empirical research study that I carried out between 1985 and 1987, and which was designed specifically to establish the determinants/criteria of managerial effectiveness in schools and to find out which of them are held in common with those applying in non-educational settings, have been published (Hamlin 1988). The study focused on the managerial role of the subject head of department (HoD) in secondary schools. The job was initially analysed using the Critical Incident Technique which involves getting knowledgeable 'people' who are in positions to observe job holders, to identify a certain number of recent job events (i.e. critical incidents) which they believe have led to successful (effective) job outcomes and a certain number which have led to less successful (ineffective) outcomes. Critical incidents relating only to the managerial component of the HoD's role were collected from both headteachers, deputy heads, HoDs and teachers. In the case of HoDs they were required to provide examples based on their observations of colleague HoDs, and not based on their own managerial experience. By collecting critical incidents from this cross-section of staff in schools, examples of 'effective' and 'ineffective' managerial behaviour were obtained which represented virtually the whole of the management aspects of the HoD's job domain. Of the 340 critical incidents collected from 35 observers, 115 had been described by headteachers/deputy heads, 126 by HoDs and 99 by teachers. In total this sample comprised 172 examples of 'effective' behaviour and 168 examples of 'ineffective' behaviour. From these critical incidents a Behavioural Item Questionnaire (BIQ) was constructed comprising 126 variables; this was shown to be virtually 'deficiency error' free. The BIQ instrument was then administered in 19 schools of one local education authority in the West Midlands. Over 200 HoDs were rated by their respective superiors (i.e. by headteachers and/or deputy heads) with a rating score being given against each of the 126 performance criteria in the BIQ. At the same time an assessment was made by the raters as to the 'overall managerial effectiveness' of the departmental heads, and this was recorded as a score on a conventional 5-point performance appraisal type rating scale that had been incorporated into the BIQ.

A total of 232 completed questionnaires were collected. Using this rating data, all of the 126 variables in the BIQ were intercorrelated using the Pearson product-moment correlation coefficient, and the data subsequently factor analysed in order to classify/cluster the behavioural items and to generate the job criteria/competency dimensions. In total 16 factors were extracted and interpreted and each was given a 'label' which best described and summed up the underlying meaning of the factorial construct. A study of the intercorrelations between the 126 data variables comprising the BIQ and the ratings of 'overall managerial effectiveness', provided strong evidence of good concurrent validity of the factor contents. The 16 factors were deemed to be the criteria of managerial effectiveness within secondary schools; these are shown in

Table 1 Factors in order of extraction from the factor analysis

Factor identity		*No. of items loaded onto each factor*		
Number	*Descriptive labels*	*Total*	*Effective behaviours*	*Ineffective behaviours*
I	Showing lack of consideration for staff	27	2	25
II	Organising and controlling resources	20	6	14
III	Representing the department and fighting one's corner	15	14	1
IV	Concern for maintaining performance standards	17	15	2
V	Active supportive leadership	15	14	1
VI	Involving staff in decision-making and participative management style	10	9	1
VII	Resistance to change versus active innovative management	13	3	10
VIII	Delegation	8	6	2
IX	Allocating work and resources	5	4	1
X	Discipline	9	3	6
XI	Lack of preparation and laissez faire leadership	6	—	6
XII	Considering own self interest only versus showing concern for the interests of others	8	2	6
XIII	Liaison with outside organisations	2	2	—
XIV	Departmental communications	5	5	—
XV	Co-operating with colleagues	3	1	2
XVI	Leadership by example	3	1	2

Table 1 which also gives the number of 'effective' and 'ineffective' behavioural items comprising each of the factors respectively.

The behavioural contents of the 16 factors were compared in detail with the 10 most comparable empirical research studies that could be found in the literature, and also against the 'criteria' of managerial effectiveness that had been published by eight other well known management researchers/theorists including Mintzberg, Katz, Reddin and Burgoyne. These comparisons revealed, for certain factors, high degrees of similarity or sameness of meaning and a high incidence of coincidence. The frequency of coincidence relating to each of the 16 factors, which I have termed 'the extent of universal similarity' was expressed as a percentage. On the assumption that a factor should only be considered to be generalised and universally applicable if coincidence occurs with those 'criteria' established by a majority of all other researchers known to have worked in the same related field of study (i.e. when the 'extent of universal similarity' exceeds 50 per cent), I have concluded that seven of the 16 factors could be claimed to be 'universal' criteria, the other nine being more 'situation-' or 'education-specific' as indicated in Table 2. Although the tasks and behaviours making up the constructs of these 'universal' factors were expressed in terms of the language associated with secondary education, they were clearly equivalent in substance and meaning to those relating to the factors and 'criteria' against which they had been compared, and which applied to management in non-educational settings. A similarity of meaning was much less clear, and in some cases even non-existent, for the 'situation-/education-specific' factors.

The set of 'universal' criteria emerging from this research comprised 45 per cent of the total managerial component of the HoD's job domain as represented by the 16 criteria of managerial effectiveness. This happens to be roughly consistent with the work of Stewart and Stewart (1976) who found that of those factors influencing managerial effectiveness, about one-third persist across jobs and organisations, the remainder being specific to the situation being managed. Hence it appears that the notion of the 'universally effective manager' applies as much to HoDs in secondary schools as it does to managers in any other type of organisational setting.

Table 2 The 'universal' versus 'situation/education-specific' criteria of managerial effectiveness in secondary schools

	Relative importance attached to factors as 'universal' criteria based on the percent coincidence with factors/criteria published by other 'authors'	*Extent of universal similarity (%)*
	'Universal' criteria	
I	Showing (lack of) consideration for staff	78
V	Active supportive leadership	67
VII	Active innovative management versus resistance to change	67
II	Organising and controlling resources	61
IV	Concern for maintaining performance standards	61
VI	Involving staff in decision making and participative management style	61
VIII	Delegation	56
	'Situation/education-specific' criteria	
XIV	Departmental communications	44
III	Representing the department and fighting one's corner	39
X	Discipline	39
XV	Co-operating with colleagues	33
IX	Allocating work and resources	28
XI	Lack of preparation and *laissez faire* leadership	28
XVI	Leadership by example	22
XII	Showing concern for the interests of others versus considering own self interest only	11
XIII	Liaison with outside organisations	0

Characteristics of the Competent Manager in Secondary Schools

Assuming the criteria resulting from this research study are correct, then the behavioural content of these criteria would suggest that the 'universally effective manager' is one who:

1. shows care, concern and consideration for staff, as opposed to one who exhibits behaviour that undermines confidence, status and morale, or who indicates mistrust, unhelpfulness and insensitivity to the needs of other people (Factor I);
2. is personally well organised, good at planning and organising resources and is good at exercising managerial control (Factor II);

3. shows concern for the maintenance of performance standards by actively monitoring staff performance and by taking whatever action is necessary to ensure they perform to standard, whilst also supporting and giving them help as and when necessary (Factor IV);
4. gives guidance, encouragement and general support to staff as and when required, and particularly when help is sought (Factor V);
5. consults with staff on decisions relating to changes affecting them, involves them in running the department and also generally adopts a participative style of management (Factor VI);
6. actively innovates change and development, as opposed to one who exhibits a closed mind and an unwillingness to adopt or even consider new ideas (Factor VII); and who
7. delegates effectively to staff (Factor VIII).

In short the 'universally effective manager' appears to have both a high 'achievement' orientation and a high 'people' orientation. However, to be wholly effective, HoDs in secondary schools not only need to possess all of the characteristics of the 'universally effective manager', but additionally they need to possess a range of competencies that are specifically determined by the context and culture of the educational setting. It appears, for example, that HoDs should:

1. fight hard for resources and for what they believe is right for the department, and additionally they should actively represent and protect the interests of their staff (Factor III);
2. organise and allocate to subordinate staff work and resources in a way that is seen to be fair and sound (Factor IX);
3. be personally effective in handling disciplinary issues, and should ensure their staff are themselves capable of maintaining discipline and are motivated to use effectively the established disciplinary/referral procedures (Factor X);
4. liaise as appropriate with outside organisations for the purpose of securing additional resources for their respective departments (Factor XIII);
5. be effective in facilitating formal and informal departmental meetings and/or briefing sessions (Factor XIV);
6. exhibit a constructive and helpful attitude to colleague HoDs, as opposed to being unco-operative (Factor XV); and they should
7. demonstrate high personal standards of performance and achievement, and also high levels of expectation in subordinates (Factor XVI).

This contrasts sharply with the behaviours that characterise 'ineffective' HoDs, such as exhibiting 'slackness and omissions in the planning and organisation of activities' which are indicative of a laissez-faire style of management (Factor XI) or behaviour that indicates 'selfishness and self-interest at the expense of others' (Factor XII).

Comparison with Headteacher Competencies

When compared against the six skills that the POST project team (Morgan *et al.* 1983) suggested should be used as assessment criteria for the selection of secondary school headteachers, the personal attributes and managerial skills that can readily be inferred from the characteristics of the effective HoD as described above, appear to have much in common (see Table 3). For example Factor I (Showing lack of consideration for staff) and Factor V (Active supportive leadership) are clearly linked by association to the managerial skill of 'Sensitivity'; both factors are concerned with being sensitive to people's reactions and personal problems. Likewise Factor IX and Factor XII are also associated with issues of 'sensitivity' being, as they are, concerned with fair and equitable allocation of work and resources of staff.

Factor II (Organising and controlling resources), Factor IV (Concern for maintaining performance standards), Factor VII (Delegation) and facets of Factor IX (Allocating work and resources), all relate to some extent to the major skill identified by the POST project team as 'organisational ability'. Similarly a commonness of meaning can also be found between various facets of one or more of the 16 factors outlined in Table 1 and the other headteachers skills suggested by Morgan *et al.*, namely 'problem analysis and judgement', 'leadership', 'written communication' and 'oral communication'. These comparisons lend strong support to the view that the six

Table 3 Comparison with the POST project selection criteria for headteachers

	POST project: skills used as selection criteria	*Author's factors*
1	Problem analysis and judgement The ability to understand, analyse, seek out and assemble relevant data and perceive the relative importance of the different elements; to come to a judgement of a wide acceptability and high quality in relation to a complex problem	VI VII
2	Organisational ability The ability to plan, organise, schedule, co-ordinate, control, evaluate so as to formulate, determine and implement all aspects of necessary policy	II, IV VIII, IX XI
3	Leadership The ability to influence and structure the activities of others in a) the formation and determination of policy b) the solving of problems c) the carrying out of decisions for the most productive outcome	II III V
4	Sensitivity The ability to sense the reactions, needs and personal problems of other people, to recognise the clues and cues necessary for the most effective inter-personal communication, and not to put these into effect especially as far as tact and resolving conflict are concerned	I V IX, XII
5	Written communication To communicate effectively in writing to different audiences, pupils, teachers, parents	III
6	Oral communication To communicate effectively orally to different audiences	III, XIII XIV

selection criteria as used by the POST project researchers, which embody the skills and abilities they deemed essential for success as a secondary school headteacher, have much in common with the competencies required by HoDs. It could be inferred from this that an HoD who demonstrates high levels of competence against the 16 criteria of managerial effectiveness described in this article, would likely possess many of the necessary attributes required for success at the headteacher level.

General Observations

It is interesting to note that seven of the eight 'first order' factors extracted by the factor analysis turned out to be 'universal' criteria, but that the third 'first order' factor in order of extraction was 'situation-specific', namely Factor III (Representing the department and fighting one's corner). The apparent relative significance and importance of Factor III can perhaps be explained by the prevalent perception within the teaching profession at the time that the research study was carried out, of considerable underfunding of the education service by central government. In such circumstances an ability to 'fight successfully for a fair share of scarce resources for the benefit of the department and staff' would likely have been considered by those in teaching to be an essential characteristic of effective performance at the HoD level. However, in a situation where a school is or becomes generously endowed or funded, and where adequate resources are readily available to departments, then this particular competency would not necessarily then be seen to be so strategic to the success or failure of a departmental head.

The requirement to be highly 'people' orientated, as indicated by Factors I, V, and XII, appears from the literature to be a vital component of management competence within UK industrial and commercial organisations (Jacobs 1989, Training Agency 1988). However, in the secondary school setting it is of interest to note that this orientation is expressed in the negative form. For instance 25 of the 27 items comprising the behavioural content of Factor I, and six of the eight items comprising Factor XII were examples of 'ineffective' managerial behaviour demonstrating a lack of consideration or concern for staff (see Table 1). This could suggest that the predominant experience of teachers is that of being managed by HoDs who have little concern, sensitivity or time for them as people. This type of managerial behaviour, particularly in these current times of rapid change, of contraction and of perceived teacher shortages, is thought to be unlikely to be conducive to high staff morale, motivation and performance.

Specific Implications

The implications of these research findings for those concerned with education management are believed to be significant as they clearly have a bearing on important management issues such as, for example, selection, appraisal, training and development, as follows:

Selection

Reference has already been made to the POST project report on the Selection of Secondary School Headteachers. In suggesting their six skills for use as selection criteria for headteachers, Morgan *et al.*, pointed out that these subjectively derived assessment criteria had face validity only, and that research studies were needed first to correlate the appropriate criteria with successful leadership, and secondly to demonstrate the extent to which they had predictive validity.

As a result of the research described above, there now exists a set of empirically derived assessment criteria that have been shown to be highly correlated with measures of effective performance, and which therefore could provide a sound basis for establishing valid selection criteria for HoDs and for identifying or developing appropriate selection tests.

Performance Appraisal

Many secondary schools are beginning to introduce formal performance appraisal (PA) procedures. However, if a PA system is to be effective, staff need to be appraised against relevant performance criteria that are 'job related, standardised, reliable, valid and acceptable to both the appraiser and ratee' (Bennett and Langford, 1983; Banks and Murphy 1985). It is interesting to note from the literature relating to developments in the field of PA, that increasingly the trend is towards behaviourally based evaluation instruments designed to assess management competencies derived from empirical research (Bernadin and Klatt, 1985; Banner and Graber 1986; Long 1986 and Jacobs 1989). In the light of this, the criteria of managerial effectiveness that have emerged from the present study could provide the type of assessment criteria required to develop an effective behaviourally based PA instrument for HoDs in secondary schools. The fact that they have been derived from the direct observations of both headteachers, deputy heads, HoDs and teachers, and that rigorous empirical research methodology has been used in their derivation, should lead to both appraisers and appraisees being able to readily accept their relevance and validity.

Training and Development

The research findings have revealed that many of the determinants of managerial effectiveness that apply to HoDs in secondary schools are similar to those that are universally applicable to managers operating in non-educational settings. Hence much of the management training that has been successfully used over the years for developing competent managers within industry, commerce and the public sector should be equally relevant for training HoDs in secondary schools. Even so, by designing management training that specifically focuses onto the managerial skills and attributes associated with the 16 'universal' and 'situation-/education-specific' criteria, should lead to the delivery of training programmes which take account of the particular contextual and cultural factors that are peculiar to the secondary school environment and are reflected in the language and vocabulary of the 'behavioural' criteria. Such tailored training programmes would most probably be seen by HoDs as being of direct relevance to their respective needs and situation, and therefore could prove to be particularly effective.

It will be noted from Table 1 that the behavioural contents of several of the criteria, namely Factors I, VII, XI and XII are predominantly made up of examples of 'ineffective' managerial behaviours. Hence, as these criteria are indicative of the managerial characteristics that lead to failure, they should provide a basis for producing a set of 'contra-indicators' that could be used for heightening a headteacher's awareness of the critical managerial behaviours contributing to poor HoD performance, and for constructing programmes of remedial training.

It has been well documented that there is a widespread 'anti-management' sub-culture within education as indicated by the various reports in the literature of headteachers and HoDs who, for example, reject the 'notion and vocabulary of management', who are 'reluctant to accept management techniques and procedures, particularly those emanating from non-educational situations', who 'dismiss managerial concerns as irrelevant' and even 'dispute the statement that schools are managed institutions', who 'consider management as little more than a threat to educational quality' or who 'never or rarely observe their staff teaching even when opportunities have been made to permit this to happen' (Everard 1982; Morris and Dennison 1982; Morgan *et al.* 1983; Dennison 1985; Audit Commission 1986; Earley and Fletcher-Campbell 1986).

The fact that the 16 criteria of managerial effectiveness described above have been empirically derived from a mass of direct observations of specific incidents that have actually happened in schools, rather than from the generalised subjective opinions of 'experts', and that these have been obtained from a wide cross section of knowledgeable staff inside the teaching profession itself who have actually observed the outcomes of effective and ineffective management behaviour, should help to convince the sceptics as to the relevance and applicability of these criteria. Based on the findings and evidence resulting from this research, those within the profession who hold to the beliefs of the 'anti-management sub-culture' should at least begin to recognise the need to accept the notions and vocabulary of management. Furthermore, the detailed comparisons of these research findings with what can be found in the literature on managerial effectiveness, should also help both senior and middle management within education, including LEA education officers, to recognise and accept that management experience and expertise existing in the world of industry, commerce and the public sector can in fact have considerable relevance and applicability to the education service.

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The "universal competence" approach and the "process" approach appear to have equal support in management training policy. The impacts and implications of recent empirical research are described.

Approaches to Management Development in the UK

Bob Hamlin and Jim Stewart

Introduction

Management education, training and development (METD) has been the focus of much recent debate and controversy within the UK (Smith *et al.*, 1989; Jacobs, 1989). For example, there are those who subscribe to the view that management can be defined by "a classification, or common language of the knowledge, skills and qualities of effective managers/leaders (i.e. managerial competences)" and that "competence-based standards can be developed that pertain to management activities irrespective of functions" or organisational settings. This "universal" approach to METD, which involves developing a set of management competence criteria that are universally applicable as epitomised by the work of Boyatzis, appears to be fundamental to the thinking of the Training Agency and other major organisations that strongly support the Management Charter Initiative.

The "classification of the components of management competences" developed by an advisory group to the Training Agency (1988) and apparently derived largely from the competences and skills that Boyatzis claims are required by the competent (US) manager (1982), has been used as a key reference source by the (UK) Management Charter Initiative Group. However, as there is a current dearth of hard empirical research evidence relating to what actually constitutes managerial effectiveness in UK organisations, it must be presumed that those who derived the Training Agency classification system assumed that the personal attributes and competences required for success in management within American organisations are also relevant and applicable to management in the UK. Such lists of personal attributes and classes of attributes drawn from sources such as those of Boyatzis have been used conventionally for some years in the UK as the basis for the categories of assessment performed at management assessment centres. However, as Herriot (1988) has pointed out, the soundness of the derivation of these lists of attributes needs to be questioned because the procedures involve a very great deal of generalisation and inference. For example, he questions the basis by which a wide range of specific tasks is categorised together under such headings as "Utilising Human Resources", and the way a wide range of attributes is then inferred to be necessary for the successful execution of that general task category. He suspects that the training of managers to develop such attributes in order to be, for example, more "proactive", "decisive", "flexible" and "persuasive" (Boyatzis, 1982) may well not transfer back to the work situation.

Other expert commentators have expressed a concern about the limitations and narrowness of the "universal" approach (Jacobs, 1989). John Burgoyne and others at the Centre for the Study of Management Learning, University of Lancaster, go so far as to argue that this approach is "misconceived" because the "listing of separate competences at best can only simply illuminate different facets of what is at the end of the day a complex whole"; they believe that "a universal mechanism is inappropriate, that any effective scheme must recognise the realistic nature and variability of management across situations, and that there is a need to recognise that management performance and development can only be understood in terms of the particular context or culture in which it exists". Their alternative views on the acquisition of management skills and competences has been termed the "process" approach.

One piece of empirical research pertaining to management competence within a UK context has recently been published by Hamlin (1988). His research findings have established that to some extent the "universally effective manager" referred to by Bennett and Langford (1983) does in fact exist. However, the research also provides other strong evidence that lends support both to those who have alternative views on, and misgivings about, the "universal" approach to METD, and to those who promote and articulate the "process" approach.

The Study

Hamlin (1988) set out to identify the job criteria and related competence dimensions required for managerial success within schools, and to find out which of them are held in common with those applying in non-educational settings. The study was specifically focused on the role of heads of departments (HoD) in secondary schools. He obtained 340 "critical incidents" from a sample of headteachers, deputy heads, HoDs and teachers (n = 35). A behavioural item questionnaire (BIQ) was constructed from the critical incidents, administered in 19 schools with over 200 HoDs being rated by their respective superiors, against each of the 126 items (performance criteria) in the BIQ. At the same time an assessment was also made as to the "overall managerial effectiveness" of the HoD using a conventional five-point performance appraisal type rating scale. Factor analysis was then used for classifying the data and generating the job criteria and competence dimensions. In total, 16 factors were extracted and interpreted, and each was given a "label" which best described and summed up the underlying meanings of the factorial constructs.

These 16 factors were deemed by Hamlin to be the criteria of managerial effectiveness within secondary schools and are shown in Table I.

The behavioural content of each of the 16 factors was compared in detail with the published findings from ten other comparable empirical research studies, nine of which were American based and only one of which was of UK origin, namely that of Bennett (1983). (At the time the comparison was made no other comparable research studies could be found in the UK literature.) Additionally, the factors were also compared against the "criteria" of managerial effectiveness published by eight other well known management researchers/theorists. Hamlin concluded that seven of his 16 factors could be claimed to be "universal" criteria, the other nine being more "situation" or "education-specific", as indicated in Table II. Although the tasks and behaviours making up the constructs of these "universal" factors were expressed in terms of the language associated with secondary education, they were clearly equivalent in substance and meaning to those relating to the factors and "criteria" against which they had been compared and which applied to management in other types of organisational settings. A similarity of meaning was much less clear and in some cases even non-existent for the "situation/education-specific" factors.

If one refers only to the descriptive labels given to the "situation/education-specific" factors it could be inferred that some of them ought to be found to be universally applicable. For example, all managers have a need to communicate effectively with their subordinates (Factor 14 — Departmental commmunications), to allocate

Table I. *Factors in Order of Extraction from the Factor Analysis*

Factor Identity		No. of Items Loaded onto Each Factor		
Number	Descriptive Labels	Total	Effective Behaviours	Ineffective Behaviours
1.	Showing lack of consideration for staff	27	2	25
2.	Organising and controlling resources	20	6	14
3.	Representing the department and fighting one's corner	15	14	1
4.	Concern for maintaining performance standards	17	15	2
5.	Active supportive leadership	15	14	1
6.	Involving staff in decision making and participative management style	10	9	1
7.	Resistance to change versus active innovative management	13	3	10
8.	Delegation	8	6	2
9.	Allocating work and resources	5	4	1
10.	Discipline	9	3	6
11.	Lack of preparation and *laissez-faire* leadership	6	—	6
12.	Considering own self-interest only versus showing concern for the interests of others	8	2	6
13.	Liaison with outside organisations	2	2	—
14.	Departmental communications	5	5	—
15.	Co-operating with colleagues	3	1	2
16.	Leadership by example	3	1	2

Table II. *The "Universal" versus "Situation/Education-specific" Criteria of Managerial Effectiveness in Secondary Schools*

Relative Importance Attached to Factors as "Universal" Criteria Based on the Per Cent Coincidence with Factors/Criteria Published by Other Authors			Extent of Universal Similarity (%)
"Universal" criteria	1.	Showing (lack of) consideration for staff	78
	5.	Active supportive leadership	67
	7.	Active innovative management versus resistance to change	67
	2.	Organising and controlling resources	61
	4.	Concern for maintaining performance standards	61
	6.	Involving staff in decision making and participative management style	61
	8.	Delegation	56
"Situation/Education-specific" criteria	14.	Departmental communications	44
	3.	Representing the department and fighting one's corner	39
	10.	Discipline	39
	15.	Co-operative with colleagues	33
	9.	Allocating work and resources	28
	11.	Lack of preparation and *laissez-faire* leadership	28
	16.	Leadership by example	22
	12.	Showing concern for the interests of others versus considering own self-interest only	11
	13.	Liaison with outside organisations	0

workload to their staff (Factor 9 — Allocating work and resources) and, as necessary, to discipline substandard performers (Factor 10 — Discipline). However, a close examination of the behavioural content of these factor constructs reveals they have a very specific meaning and relevance in an educational environment and it cannot readily be seen how equivalent behaviours would likely occur in non-educational settings. In the case of Factor 10 — Discipline, for example, the behavioural content relates solely to the range of competences required to maintain discipline amongst the pupil population and is not concerned with reprimanding subordinate staff for poor performance. This latter aspect of discipline happens to be subsumed as part of one facet of Factor 4 — Concern for maintaining performance standards. As might be expected, a situation where an HoD cannot maintain effective discipline in his/her own classroom or does not ensure that his/her teaching staff are capable of achieving high standards of pupil discipline can lead to a serious undermining of schoolwide discipline and effectiveness. Hence, this probably explains why competence in the area of "Discipline" has emerged as an essential characteristic of effective managerial performance in secondary schools.

Concerning Factor 9 — Allocating work and resources, most HoDs are themselves practising classroom teachers and must necessarily allocate a proportion of the departments' teaching workload to themselves as well as to their subordinate staff. Being an emotive issue, if this is done selfishly, unfairly or in any other way ineffectively, then it is likely to cause serious damage to staff morale and team effectiveness. In such circumstances it can be readily anticipated that competence in this area of management would feature as an essential requirement for effective performance in a school environment. Although this requirement could equally apply to some first-line managers in commerce or industry where, as part of the job, the manager has to perform practitioner work that is similar to that of his/her own subordinates (e.g. a sales manager who has to do a proportion of direct selling), it would be unlikely to feature as a criterion of managerial effectiveness in an environment where the allocation of work was not such a sensitive issue and did not require much managerial discretion. Hence, whilst this factor might to some extent be regarded as generalised, on present evidence it cannot be deemed categorically to be universally applicable; similar arguments can be made regarding Factor 14 — Departmental communications.

Assuming these findings are correct and there are only seven "universal" criteria of managerial effectiveness, then it would appear that the "universally effective manager" is one who:

- shows care, concern and consideration for staff, as opposed to one who exhibits behaviour that undermines confidence, status and morale, or which indicates mistrust, unhelpfulness and insensitivity to the needs of other people (Factor 1);
- is managerially well organised, good at planning and organising resources and is also good at exercising managerial control (Factor 2);
- shows a concern for the maintenance of performance standards by actively monitoring staff performance, and by taking whatever action is necessary to ensure they perform to standard whilst also supporting and giving them help as and when necessary (Factor 4);
- gives guidance, encouragement and general support to staff as and when required, and particularly when help is sought (Factor 5);
- consults with staff on decisions relating to changes affecting them, involves them in running the department and also generally adopts a participative style of management (Factor 6);
- actively innovates change and development, as opposed to one who exhibits a closed mind and an unwillingness to adopt or even consider new ideas (Factor 7), and
- delegates effectively to staff (Factor 8).

In summary, the "universally effective manager" appears to be a person who has both a high "achievement" orientation and a high "people" orientation.

Implications

From the foregoing it can be seen there is strong evidence to suggest that those who believe in the "universal" approach to METD and who support the aims of the Management Charter Initiative are right in thinking that "a set of universally applicable management competence criteria — independent of function and context" can be derived. However, it has to be borne in mind that the set of "universal" criteria emerging from this reported research makes up less than half of the total job domain represented by the 16 criteria of managerial effectiveness. This happens to be roughly consistent with the work of Stewart and Stewart (1976) who found that of those factors influencing managerial effectiveness about one-third persist across jobs and organisations, the remainder being specific to the situation being managed. Therefore, this suggests that those contributors to the current education, training and development debate, who have expressed serious reservations about the "universal" approach to METD on grounds of it being "narrow, limited and failing to develop core-competences and objective measurements in the totality of areas" within the managers' job domain,

Table III. *Comparison with the Boyatzis Competences and Skills*

Boyatzis Competences Relevant to Entry and Middle-level Managers Competences	Skills	Hamlin's Factors
Goal and action management cluster		
Efficiency orientation*	Goal-setting skills	
	Planning skills	2
	Skills in organising resources efficiently	2 and 4
Proactivity*	Problem-solving skills	
	Information-seeking skills	
Diagnostic use of concepts*	Pattern identification through concept application	
	Deductive reasoning	
Concern with impact	Symbolic influence behaviour	
Leadership cluster		
Self-confidence*	Self-presentation skills	
Use of oral presentations*	Verbal presentation skills	
Logical thought*	Organisation of thought and activities	
	Sequential thinking	
Conceptualisation*	Pattern identification through concept formation	7
	Thematic or pattern analysis	
Human resource management cluster		
Use of socialised power*	Alliance-producing skills	
Positive regard	Verbal/non-verbal skills that result in people feeling valued	1 and 5
Managing group processes*	Instrumental affiliative behaviours	6
	Group process skills	
Accurate self-assessment*	Self-assessment skills	
	Reality-testing skills	
The directing subordinates cluster		
Developing others*	Skills in feedback to facilitate self-development	5
Use of unilateral power	Compliance-producing skills	
Spontaneity	Self-expression skills	

*Competences and skills that appear to have been incorporated into the "Classification of the Components of Management Competences" developed by the Training Agency.

have considerable cause for their misgivings (Jacobs, 1989). Furthermore, many of the criteria of managerial effectiveness from this study have meaning and relevance only in terms of the specific managerial tasks and behaviours that discriminate between effective and ineffective performance within a particular educational context and culture. This fact provides considerable support for the views of Burgoyne and others who promote and articulate the "process" approach to METD. Additional support for their views arises from the fact that certain of Hamlin's situation-specific criteria could be particularly time-sensitive. For example, it could be argued that the current perception of underfunding of the education service by Government leads to a situation in schools whereby "fighting hard for a share of the scarce resources to benefit your department and staff" is considered by those in the teaching profession to be an essential characteristic of effective performance at the HoD level. The current significance and importance of this particular management competence is demonstrated by the fact that Factor 3 — Representing the department and fighting one's corner, was the third factor to be extracted during the factor analysis process. If Government policy suddenly changed whereby schools became fully funded, and where resources were adequate and readily available to departments, then this particular competence might not necessarily be seen to be so strategic to the success or failure of a departmental head. Hence, in a more conducive financial climate the emphasis and interpretation of various facets of this factor might be quite different, as well as its position in the order of extraction from the factor analysis.

a significant part of the Training Agency's classification system is not relevant to managers

When Hamlin's 16 factors are compared against the competences and skills that Boyatzis claims are relevant to the performance and effectiveness of "Entry-level" and "Middle-level" managers, only six obviously coincide in meaning with his descriptive labels, as indicated in Table III, and it will be noted that these happen to be from the set of seven "universal" criteria. It will also be noted from Table III that coincidence occurs with only four of the eleven Boyatzis competences that appear to have been incorporated into the Training Agency's Classification of the Components of Management Competence. Hence, from the evidence, it would seem that a significant part of the Training Agency's classification system is not relevant to managers in secondary schools, which could suggest that part of it might not necessarily be applicable either to managers in other organisational settings. This brings into question the wisdom of using, in a UK context, lists of managerial competences that have been derived solely from American management experience. As Herriot (1988) observes, we can no longer avoid "the hard task of conducting job analysis on enough managerial jobs to determine how many distinctions we may need to make in the global concept of management" as it applies here in Britain. This research suggests that at least seven such distinctions can be made. Further work is required to determine whether or not there are other "universal" criteria applying to management in the UK, and to establish which of the competences comprising the Training Agency's classification system are in fact essential requirements for effective managerial performance at any level in any organisation.

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SECTION 1: SELECTED PORTFOLIO OF PEER REVIEWED PUBLICATIONS

Sub-Section 1.3

Anglia Research Publications

Hamlin and Reidy (1997)
Hamlin, Reidy and Stewart (1997)
Hamlin, Reidy and Stewart (1998)
Hamlin, Reidy and Stewart (1999)

Strategic Change, Vol. 6, 435-450 (1997)

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Effecting change in management culture[1]

This article describes the outcome of a series of research-based organization development (OD) interventions used to bring about management culture change within one part of the British Civil Service.

- *The application of well-grounded and academically rigorous internal research findings to inform and shape the OD interventions designed to impact culture in support of strategic change are discussed.*
- *The results reported lend support to the analysis of the concept of 'cultural lag' and its application.*
- *It is argued that the credibility of the internal research base, derived from its academic credentials and the full commitment of a visionary leader, were significant factors in overcoming the restraining forces of 'cultural lag' applying at the time.*
- *A case is made for more use within the UK of strategically led research-based approaches to management and organization development.*

Introduction

Organizational change can be a slow and protracted process within organizations, not least within traditional bureaucracies whether in the public or private sector. This paper focuses on the recent experience of the writers in helping to bring about cultural change expeditiously in one part of the British Civil Service, namely Anglia Collection, an Executive Unit of HM Customs and Excise. Historically the ability of the British Civil

[1]This article is based on a Nottingham Business School 1996 conference paper: The Strategic Direction of Human Resource Management. The Context of Practice: The Lives and Thoughts of HRM People.

Service to change its culture has been constrained. As far back as 1854 the Northcote-Trevelyan Report highlighted, amongst many other recommendations, the 'need for promotion within the Service to be based on merit not seniority' (See Fry, 1979); yet the Service appears only recently to have moved towards this in any meaningful way. In 1968 the Fulton Report commissioned by the then Prime Minister, Harold Wilson, proposed a significant cultural change when it recommended that the system of classes (later to be called grades), which 'seriously impeded the work of the Civil Service', should be changed. Yet as our work reveals 'gradism' still exists and adversely affects the working of the Service.

Organizational change can be a slow and protracted process within organizations

[*Gradism* is a fairly localized term which is descriptive of the discrimination people can feel used against them just because they are in a lower grade, or the threat that people of higher grades can feel when their status is undermined (e.g. by delayering which sometimes causes them to become further entrenched in gradist attitudes)].

A more recent example of constraints on the ability of the British Civil Service to bring about organizational change was that reported by Bate (1996), who drew attention to examples of the underachievement of the Government 'Next Steps Initiative'. This was launched in 1988 to bring about transformational change within the Service, but was only partially successful as it failed to 'spark off the required cultural revolution' at the local operational level of the Service. As revealed by the in-depth ethnographic study carried out by Brooks and Bate (1994) in one of the newly formed Executive Agencies created by the 'Next Steps Initiative', the major top-down organizational change that had been imposed from above had been frustrated by the 'cultural infrastructure at the local level which had been acting to neutralize the desired changes'. The 'frames' or 'schema' making up this local 'cultural infrastructure', which had been obstructing the realization of the radical changes envisaged by 'Next Steps', included such cultural characteristics as, for example:

> 'impersonality', 'unemotionality', 'rationality', 'segmentalism', 'hierarchical and elitist attitudes', 'conservatism', 'submission', 'fatalism', 'pluralism' and "parochialism'.

Brooks and Bate (1994) argued that these characteristics stemmed largely from 'a burning desire to control and reduce (both) personal and collective anxiety', and they saw this as having 'led to maintenance strategies directed not to change but to (the existing) order'. The cultural infrastructure so described appears to be consistent with the well-known traditional Civil Service culture of putting a premium on 'a safe pair of hands' and 'the avoidance of risk taking, enterprise and good housekeeping' which were roundly criticized by Sir Robin Ibbs (1988) in his 'Next Steps' Report. As Bate (1996) observed, the obstacle to bringing about the desired organizational transformation at the very heart of the 'Next Steps Initiative' was the existence of a resilient yet non-relevant culture within the particular Executive Agency studied by Brooks and Bate. The fact that this cultural infrastructure was not relevant consequently prevented the successful implementation of the most important elements of the 'Next Steps' change programme. The condition when a culture is not relevant to the needs of an organizational change programme has been referred to by Bate (1996) as 'cultural lag' which, he argues, has serious implications for organizational effectiveness and survival. He argues further that 'cultural lag' must be minimized if organizational change programmes involving 'second-order' change (i.e., those that can be regarded as transformational rather than incremental and thus associated with cultural as well as structural change (Levy and Merry, 1986; Tushman and Romanelli, 1985)) are to be successfully implemented.

Brooks and Bate (1994) have claimed that to implement effectively and successfully second-order organizational change programmes specific strategies are required, not only to change the culture but also to deal directly with what they term the 'politics of acceptance'. Such strategies are needed so as to 'legitimize and justify' changes at the local level, thereby securing grass roots agreement, support and co-operation. In the case of the Executive Agency studied by Brooks and Bate such a strategy was not in evidence. Even if it had been it would likely have incorporated conventional organization development (OD) methods, and thereby would probably have failed because as Stacey (1996) points out, there is much evidence in the literature to suggest that 'corporate (OD) programmes designed to change the whole culture of an organization in a top-down planned manner do not work'. Because such change programmes are based almost invariably on the three-stage 'unfreeze-change-refreeze' OD model of Lewin (1958), and upon mainstream models of strategic management which 'assume an organization is a feedback system in which negative feedback is the dominant form', they do not, as Stacey claims, 'take adequate account of the complex dynamics (and culture) of the organization'. He gives several reasons why conventional OD efforts often fail, including the following:

1. Such OD effort provokes and reinforces powerful organizational defence routines that are difficult to identify and deal with.
2. OD re-education programmes tend to upset people and arouse in managers fears of losing control leading to reduced commitment to change which they then seek to conceal. Furthermore the OD questionnaires typically used by OD consultants often only reveal what managers and employees *say* they do rather than what they *actually* do, which leads to highly partial, selective and misleading data upon which change programmes become based. This inevitably leads to failure.
3. Comprehensive OD programmes, by definition, raise anxiety levels because they are about major organization-wide change which inevitably alters people's power positions and jobs. Higher uncertainty levels and higher anxiety levels throughout the organization are thus inevitable. These provoke positive feedback loops of unconscious behaviour which block effective functioning and result in organizational defence routines and unconscious defence mechanisms against anxiety.

Based on extensive research carried out within public sector organizations, particularly in the National Health Service, Kinston (1994) discovered how the 'management culture' of an organization needs to be actively nurtured, developed and progressively strengthened so that the culture remains 'relevant' to the changing requirements of the organization. He describes what happens when organizations allow once 'relevant' management cultures to go 'unattended' and thereby 'degenerate'. For example, in the case of the 'Structuralist Mode' of management, which is the predominant mode in traditional public sector bureaucracies, the management culture is seen by Kinston as embodying those management values that create the 'foundation of stability, competence and routine efficiency upon which everything else can be solidly built'. However, these 'Structuralist' principles and values exist 'to permit flexibility (not rigidity), and to ensure that any crisis or challenge that hits the organization can be handled promptly, properly and effectively (not bureaucratically)'. Unfortunately, when left unattended as is often the case in public sector bureaucracies, these values 'degenerate into a bureaucratic nightmare'. Kinston reveals how:

'individual accountability'	*degenerates into*	'empire building'
'procedural control'	*degenerates into*	'rigidity and red tape'
'assigned authority'	*degenerates into*	'pulling rank'
'teams and meetings'	*degenerate into*	'bureaucratic paperwork and pettiness'
'minimal hierarchy'	*degenerates into*	'status preoccupation, elitism and pecking order problems'
'maximum autonomy'	*degenerates into*	'impersonal dealings, disconnection in values and objectives, parochialism and unhealthy competition'
'professional expertise'	*degenerates into*	'denigrating know-it-all arrogance'

Such degeneration of the 'management culture' can lead to organizations becoming 'rigid bureaucracies' that are self-serving, averse to risk taking and enterprise, and highly resistant to change. Many of the values associated with a degenerate 'Structuralist' management culture as described by Kinston seem to find 'echoes' with the characteristics of the local 'cultural infrastructure' which caused the 'Next Steps' second-order change initiative to fail in the Executive Agency studied by Brooks and Bate (1994).

This paper describes how second-order organizational changes have recently been brought about effectively and successfully within Anglia Collection. Attention has also been given to the 'context of practice' applying in the case of the three key role-players involved in the change process described, namely Dick Shepherd, Head of the Anglia Executive Unit (the Collector), and the two writers of this paper, one of whom was acting as an internal OD practitioner/researcher and the other was a business academic giving support. We intend to demonstrate that two factors have been critical in achieving the success, the first being the visionary leadership provided by Dick Shepherd. In a seminal work on organizational change, Tushman and Romanelli (1985) identified the role and commitment of senior management as being a necessary condition for achieving organizational transformation; our work tends to support their argument. The second factor has been the use of a research-based OD instrument created from internal research, as opposed to conventional 'off-the-shelf' questionnaires typically used or adapted by OD consultants. In the case of the organizational change programme described in this article, these two factors have been connected in that the internal organizational research programme was commissioned by the Collector, who also gave his active support to the subsequent and consequent interventions which arose out of and were informed by the research.

The use of action research in OD is of course neither novel nor innovative. It has been well documented as an established approach as has its normal concomitant, namely the researcher who acts in the role of change agent (French and Bell, 1990; Harvey and Brown, 1994). However, we believe that a number of other factors have been of particular significance in this case. The research was more academic (in the best sense of that particular word) and more rigorous than many projects associated with OD consultancy. This was because the OD practitioner/researcher was relatively more informed and skilled in the design and conduct of internal OD-related research than often is the case, and she was also working with the collaborative support of a business academic. Furthermore, she was an employee of the organization who had a good understanding of and insight into the organization history and context, and who was acting with the full and visible backing and support of the Collector. We would suggest that these factors were significant in providing credibility and 'face' validity to the research findings which, in turn, gave greater confidence in decisions and actions based on the research.

Organizational context of the Anglia collection

Dick Shepherd took up his appointment as Collector of the then East Anglia Collection in July 1991. In developing his five-year strategy plan for the Collection in discussion with his Senior Managers, he started the process of revealing his vision for the organization. In this connection Lawton and Rose (1994), writing on management in the public sector state that

> the concept of the creation of a vision is linked to the affinity of that vision with the total perspective of the organization. The link lies in the need for an objective view of the organization, beyond the routine humdrum of organizational life, in order to see the wider picture. This applies to both the creation of the vision and the total perspective of the organization...

They also state that 'one of the main criticisms of senior management is its reluctance to delegate routine tasks and to concentrate on the longer term'.

These were precisely the thoughts that occurred to Dick Shepherd when, on his appointment, he found a region being run on very traditional lines, albeit delivering the HMC&E (Her Majesty's Customs and Excise) Board's plan very successfully. He believed, however, that the future indicated the need for a heavier dependence on people within the organization, and that a lot of organizational changes had to be made in order to get to that future state. He was not just thinking about the changes being signalled by the HMC&E Board or by politicians and the Government. He also felt that the Department was rather out of kilter with the changing environment and society in which it existed. This was becoming increasingly noticeable, through, for example, the younger people joining the Department. They were coming from very different backgrounds in terms of education and social development from those of previous generations, and were bringing with them higher expectations in terms of job satisfaction and self-development. On joining the Department these young employees were coming into contact with the still large numbers of older civil servants who had been strongly influenced by and harked back to the previous generation of civil servants who had had a big involvement with or background in the Armed Services during the post-war years. In addition, people were still joining the Collection who were looking for what they perceived as traditionalist and secure employment within the Civil Service. These people were generally working with diligence but in a lot of cases not flexibly. Changes were therefore needed to bring about a more flexible organization with a more 'open management style'.

> *The future indicated the need for a heavier dependence on people within the organization*

At the time, the Department was looking for sharper accountability and increased skill and professionalism from its people through the implementation of its 'Customs and Excise People's Initiative' — an initiative which Dick Shepherd strongly supported. It aimed at allocating to Collectors greater powers and authority for decision making in their own districts, and also at promoting a supportive environment in which personal development, local initiative and team working were to be fostered. To achieve these goals Dick Shepherd felt that staff needed to be trusted more, empowered more, and given the right type of support and encouragement to help them run with this empowerment. The key to success, he believed, was to:

(a) instil courage in his managers as they moved from a tall hierarchical bureaucracy to a delayered and more accountable one (e.g. by telling them 'it is all right to make mistakes');
(b) share his corporate vision continually with all of his people through a variety of forums; and
(c) tackle the challenge of bringing about cultural change on as many different fronts as possible.

During his first three years as Collector from mid-1991 to late 1994, Dick Shepherd made significant progress in bringing about organizational change effectively through the implementation of the following initiatives:

1. He immediately *extended* the Corporate Management Group (CMG) to include more managers; traditionally this had been comprised only of the Collector and his two Deputy Heads. The group now includes all Business Heads and totals 14 together with the Collector. This has intensified the consultation process, giving all of the key people in the organization a much greater say in its affairs.

2. He *empowered* his Senior Managers and Business Heads as the decision makers within their own offices and business units wherever this was possible.

3. In 1992 he appointed a *Communications Officer* to ensure that communications became effective and immediate both internally and in the media, plus a *Resettlement Officer* to facilitate the sideways moves, early retirements and other changes in the deployment of the workforce brought about by successive change initiatives.

4. In January 1993 he appointed a *Research Officer* to carry out internal and comparative organizational research, and also commissioned her to conduct an academically rigorous *Longitudinal Research Study on Cultural Change* within the organization as a means to measure and inform the cultural changes taking place.

[The contributions of the latter appointment have subsequently proven to be of pivotal significance and importance in the process of bringing about the required organizational and cultural changes. As Brooks and Bate (1994) stated:

> an essential rule for any change model must surely be 'first know your culture, then change it'... 'only by finding out how the present culture is put together, and why it persists, can we discover how to change it.'... 'the flaw in many organizational change programmes requiring culture change is that they fail to take the nature of the culture to be changed into account'... 'change attempts within the Civil Service have tended to be strong on prescription but weak on diagnosis, especially in cultural matters.'

In the case of Anglia Collection cultural diagnosis came to be recognized by the Collector as a necessary and important ingredient in the process of bringing about the cultural changes considered essential for the future health of the organization.]

5. In 1993 he published his five-year strategic plan as a consultation document called *Painting the Picture* (Shepherd, 1993). This was the first such document in a series and the first of its type in the Collection.

6. Finding his Collection one of six chosen to participate in the Government-inspired *Pay and Grading Experiment* launched in 1993 to review and revise the pay and grading structure of Civil Service Departments, Dick Shepherd opportunistically and with the encouragement of the HMC&E Headquarters refined the purpose and framework of the 'experiment'. In the event he used it as an organization development initiative to facilitate:

- reductions in and a delayering of the management hierarchy, particularly in the senior management group;
- increases in the span of control of individual managers;
- the development of grade merging where it was seen to be appropriate;

- the use of job titles rather than grades, and
- the monitoring of the effect on perceived status.

7. A consultation document on three-way expectations between the organization, the management and the staff entitled *The Anglia Expectations Document* was published in 1994 and widely communicated (see Shepherd, 1994). It acknowledged the values that needed to be maintained and perpetuated in the midst of continuous organizational change and turbulence, and set out what staff could expect from managers and the organization, but conversely what managers and the organization could expect in return from their people.

[The vision articulated in this document had been informed by a number of in-depth comparative research studies carried out by the Research Officer (see Reidy, 1993) which looked at 'change management' within other organizations both in the public and private sectors.]

8. He commissioned from an outside consultancy a *Review on Communications throughout the Collection* aimed at seeking continuous improvements in communications.

9. He *increased his visits* to outlying offices across the length and breadth of the Collection to enable more timely face-to-face communications.

10. He held a major '*Roadshow*' throughout the Collection as a consultation and debating forum on the *Fundamental Expenditure Review (FER)* exercise that had been initiated by the HMC&E Board in 1994. This concerned the restructuring of the then existing 21 Collections nationwide into 14 Executive Units and the further progressive delayering of the Departments' hierarchy. The '*Roadshow*' helped to allay any fears people may have had under such a major review by allowing them to ask questions face to face on their immediate concerns.

11. He *restructured Anglia Collection on functional lines* to enable more efficient monitoring of resources and operations whilst furthering corporate cohesiveness through the Business Heads and their staff. This was not functionalism in the true sense of the word; it was more an organic restructuring of the organization to allow for flexibility in operations.

These diverse approaches to change management, operating both in a planned and opportunistic way over the four years from 1991 to 1995, were in the main very successful. However, with regard to bringing about transformational change in management behaviour and hence the management culture, this had been only partially successful. Whereas quite a few managers had lived up to Dick Shepherd's expectations, many had not. A large proportion of managers still continued in the traditional bureaucratic mould acting, for example, more like overseers or supervisors, keeping tight control of their staff, demanding a full account for every action taken by their subordinates, and crediting themselves for the work their staff had done merely because they were in the (so-called) dominant position within the chain of command. Hence at the beginning of 1995 Dick Shepherd decided there was a need to strengthen further and make more relevant still the cultural infrastructure of his Collection, particularly the management culture. This was considered an essential development if the organization was to become more flexible and thereby even more capable of responding and adapting quickly to change, whether initiated from within or imposed from outside the organization.

A large proportion of managers still continued in the traditional bureaucratic mould

Strengthening the management culture

From their studies Brooks and Bate (1994) have drawn attention to the fact that within the British Civil Service 'vagueness and lack of awareness of the desired future culture had accounted for the failure to bring about fundamental cultural change in the way managers discharged [the] department's business'. Although Dick Shepherd was generally aware of the desirable and undesirable traits and behaviours of management within his organization, he had very little specific knowledge available which he could study and work with. Hence he commissioned his Research Officer (Margaret Reidy), in collaboration with Bob Hamlin, a business academic from the University of Wolverhampton, to carry out an in-depth empirical research study into the Criteria of Managerial Effectiveness as then applying within the Anglia Collection. From this study it was hoped to determine those managerial behaviours most effective (and conversely least effective or ineffective) for managing successfully within the changing structures and settings of the organization. In terms of the processes of developing the organization, he wanted to 'hold up a mirror to his managers' so as to enable them, through self-analysis, to determine their own managerial strengths and weaknesses as well as those of their colleague managers, thereby stimulating a ground swell of desire and will to significantly self-change the management culture of the organization. As Leigh (1996) has stated: 'the one greatest contribution that can be made by a development specialist (in this case the Collector of Anglia Collection) is to hold up a mirror to the organization and help it decide how to make meaningful changes'. This approach to OD is consistent with the views of Stacey (1996), who argues that 'the most effective OD programmes are those that start in a number of small peripheral operations and then are spread throughout the rest of the organization'.

Research into managerial effectiveness within the Anglia Collection

The planned Programme of Research into the Criteria of Managerial Effectiveness comprised three main stages, as follows:

Stage 1: The generation of statements of behaviour and behavioural dimensions that characterize effective and ineffective management.

Stage 2: The development and subsequent administration of a Behavioural Item Questionnaire (BIQ) based on the Stage 1 findings.

Stage 3: The identification of the Criteria of Managerial Effectiveness through a process of reducing, classifying and clustering the behavioural items into behavioural categories using factor analysis.

For Stage 1 the well-established Critical Incident Technique (CIT) was used. This research method was devised and first applied by Flanagan (1951), and more recently has been used specifically for management research by, for example, Latham *et al.* (1975) in the USA and Hamlin (1988) in the UK. Essentially the application of this technique within the Anglia Collection involved interviewing team leaders, their line managers, co-managers and their subordinates, who were asked to reveal examples of Critical Incidents (CIs) of 'effective' and 'ineffective' managerial behaviour which they had personally observed during the preceding six months. Ideally each 'observer' was required to identify and describe in detail up to 10 CIs, five being examples of what they considered to be particularly 'effective' management behaviour and five examples of 'ineffective' management. A strict code of confidentiality and anonymity was applied throughout the research process. Part way through Stage 1 (the Critical Incident stage), the Collector decided opportunistically to take advantage of the preliminary research findings (i.e., the 800+ critical incidents which by that time had been collected from over 100 managers), in order to create a research-based OD instrument for use at his 1995 Annual Management Conference. The main focus of this two-day conference was to be the prevailing management style exhibited within the organization which continued to manifest many of the characteristics associated with a rigid bureaucracy, and which needed to be changed. The aim was to get managers to discuss the issue of the management style of the Anglia Collection, compare it with the desired management style as agreed at the 1994 Annual Management Conference, and decide on the necessary action to bring about the required transition from a 'rigid' to a 'flexible' bureaucracy. Dick Shepherd hoped that such an OD instrument, based as it would be on research findings to which most of his line managers had contributed, would prove a more powerful management tool for facilitating his planned OD intervention than 'off-the-shelf' OD instruments, and thereby would stimulate the required transformational shift in management culture that he considered essential.

Creating the research-based OD instrument

The critical incidents were first scrutinized for overlap, duplication and similarity of meaning. Only those that were found to be the same as or similar to at least two other critical incidents, gathered from different divisions or offices of the organization were used. So as to protect the anonymity of the contributing managers who had participated in the CI interviews, these critical incidents were structured as composite statements of managerial behaviour. They were then subjectively classified and clustered by the OD practitioner/researcher, though in so doing she was informed by her separate ethnographic research into the culture of the organization which had been conducted in the preceding months, as well as by obvious patterns which the 'managerial effectiveness' research had revealed. In total eight clusters of composite CI statements were created, each cluster comprising three to five examples of effective managerial behaviour plus three to five examples of ineffective behaviours. Each of the eight clusters was then given a 'descriptive label' which best described that particular Category of Managerial Behaviour, as follows:

1. Consultation
2. Communication
3. Open, Flexible/Heavy Autocratic Management Style
4. Gradism
5. Co-operation
6. Confronting Team Members on Difficult Issues
7. Looking After the Interests of Team Members
8. Team-Building

In order to give readers an idea of the type of management behaviours that were clustered and categorized, three of the eight Categories of Management behaviour are listed below which illustrate an indicative range of the particular composite CI statements comprising the cluster.

Category 1: Consultation

- Effective

  Consulting with the people on both sides of a rather sensitive issue. Ensuring that all grades are represented at consultations rather than waiting for middle/higher grades to disseminate information. Ensuring meaningful consultation by involving team members in all aspects of a reorganization, whether of work or accommodation and not deciding for them what is important and what is not. Avoiding resentment and resistance by not springing surprises on people through making decisions behind their backs.
- Ineffective

  Not informing the line manager or team members of decisions being made which are vital to their work. Having surveyed team members for their opinions on work issues, fails to give a date for feedback, and thereby creates anxiety and uncertainty in the process. When disbanding a team allows its members to be the last to be informed so they learn of their fate from their colleagues in other teams. Giving only enough information to get a decision passed by *the team, being vague about the precise details.*

Category 4: Gradism

- Effective
  Insisting on face-to-face communications and using first name terms with all grades. Sharing ownership of ideas, not being condescending nor afraid to be seen as a team player. Putting oneself into the shoes of team members and being supportive.
- Ineffective
  Keeping people at a distance, especially those of a subordinate grade, and disseminating information on a hierarchical basis. Keeping going the closed system of work relations and trying to maintain the status quo as a means of protecting status which the old organization structures engendered. Expecting subordinate grades to do menial tasks which have no bearing on their official duties or job descriptions, and which managers would normally be expected to do for themselves. Undermining the authority of subordinate managers and using the status of the higher grade to justify such actions.

Category 8: Team-building

- Effective
  As team leader provides support and resources to the team having first listened to the team members outlining their needs, then to the best of one's abilities is seen to deliver what has been promised. Being responsive and helpful to team members experiencing problems even when suffering setbacks of one's own on similar issues. Freely giving advice, either voluntary or on request; being supporting rather than directing in style.
- Ineffective
  Failing to take action to deal with people who are disruptive in the team. Failing to exercise proper staff control to ensure all team members are kept fully occupied at all times within their agreed working hours. Telling team members that they must be aware of the value of corporate unity as teams, but then showing disloyalty towards senior management by being cynically dismissive of them.

Using the research-based OD instrument

The research-based OD instrument so constructed was intended for use in syndicate workshops. It was planned for groups of managers to evaluate and respond to its contents with the aim of developing ideas and action plans for promoting the type of managerial behaviours identified as examples of effective management, and finding ways for eliminating behaviours of the type identified as examples of ineffective management. Because of the large numbers of managers attending the 1995 Annual Management Conference, it was split into two separate two-day conference events with the research-based OD intervention workshop being facilitated at both. Eight syndicate groups were formed at both events, and therefore a total of 16 groups participated in the OD activities. Each group was given just one of the eight Categories of Managerial Behaviour to consider in depth (e.g. Consultation). This meant that each category (which was referred to as a topic) was evaluated independently by two groups of managers at separate events. Following an initial briefing by the Collector on the main purpose of the 1995 Annual Management Conference, delegates were tasked in their syndicate groups with the following:

- Study the list (*of examples*) of managerial effectiveness covering your topic.
- Discuss the ways of increasing the effective behaviour and decreasing the ineffective behaviour.
- List action points to help solve this problem (of management style). You should also identify who should take this action.

- Be prepared to present your findings to the conference and allow time to deal with any questions from the main group.

Outcome of the research-based OD intervention workshops

All syndicate groups produced a wide range of ideas for change and improvement in managerial behaviour, including sets of 'progression action' points for consideration by senior managers, line managers, team leaders and/or all managers respectively. Towards the close of the conference the responses and action points of each syndicate were presented by an elected spokesperson in plenary session. This gave everyone a chance to elaborate on the thinking behind the ideas presented and allowed the '*floor*' to ask questions. For the purpose of illustration an indicative selection of the action points proposed by the syndicate groups who evaluated four out of the eight Categories of Managerial Behaviour are given below.

- Responses to Category 1 (consultation)
Define the things we need to consult about and those we don't. Keep people informed and explain when there can be no consultation. Explain reasons for decisions. Be honest, let people know who makes the final decisions. Set milestones for progress review decisions and say who will see the final document (i.e., the Moderating Appraisal 'box markings' Document). Consultation objectives should be mandatory in the performance appraisals of all managers.
- Responses to Category 3 (open management style)
Use performance appraisal interviews and the moderating process to ensure that the requirements of being a team leader are encouraged. Run workshops with all grades present when considering and making decisions about change. Achieve better consistency in the quality of the cascade briefings. Only select and appoint managers who can demonstrate good (effective) management skills and characteristics. Team leaders should be encouraged to put forward their teams' views without fear of 'opposing/negative' labels.
- Responses to Category 5 (co-operation)
Managers should provide a working environment that promotes open communication, honesty and trust. Better explanations should be given by managers as to why decisions (affecting individuals and teams) are made. The Collection should produce a directory and postcode map; explain the advantages of being considered an 'elite' team so as to counteract the negative thinking of other teams which lead to lack of co-operation. Encourage 'broader thinking' and explain the 'big picture'.
- Responses to Category 6 (confronting team members on difficult issues)
Provide more training on the skills of confronting effectively including interpersonal skills; managers should involve staff more and do less telling. Encourage managers to use the Inefficiency and Disciplinary Procedures and use them properly. All managers should run at least two 'moderating' meetings per annum, and should hold regular team and individual planning and review meetings focusing on Specific Measurable Achievable Realistic Time-Bounded (SMART) objectives.

[An indication of the type of proposals put forward for the other Categories of Managerial Behaviour is given later in this article.]

At the end of the conference the Collector asked all of his line managers to take back to their offices copies of the 'Preliminary Report on Managerial Effectiveness Research' (Reidy, 1995) which each had received at the outset of the conference, and from which the research-based OD instrument had been created. They were encouraged to discuss with their subordinate staff the contents of the report, and to take follow-up action based on the ideas that had flowed from the conference.

Whereas previous initiatives to bring about changes in management style and culture had had only limited success, on this occasion the research-based OD intervention resulted in a very positive and constructive reaction. Various offices throughout the Collection, as well as the Corporate Management Group (CMG) in the Regional Headquarters, have initiated subsequently a diverse range of meetings, workshops and other initiatives to tackle the same issues on management style and culture as addressed at the Annual Management Conference. For example:

(a) *Southend Local VAT Office (Anglia Collection)*
Two of the Senior Executive Officers (SEOs), with the support of their local senior management, used the research findings and results of the 1995 Annual Management Conference to run '*Effective Management Style Workshops*' which they opened up also to clerical grades (i.e., Executive Officers (EOs), Administrative Officers (AOs) and Administrative Assistants (AAs)). They then set up a Steering Committee and several subcommittees to progress the action plans arising from the workshops, and to find the best ways of carrying forward the various ideas for improving performance through self-managed change in work behaviour.

(b) *Training and Development Unit (Anglia Collection)*
Workshops structured around the framework of the 'Research-based OD Instrument' and 'Preliminary Report on the Managerial Effectiveness Research', as used by the Collector and his Research Officer, have since been incorporated as regular features within the 'Manager as Developer' course, a central HMC&E training programme which is run locally by the Training and Development Unit of the Anglia Collection. These have led to noticeable and significant changes in management practice within various divisions and offices of the Collection. That the research has become an integral part of the management training provision within the Anglia Collection, as well as having been used as the basis for OD interventions, exemplifies what Jacobs and Vyakarnam (1994) claim is needed in the UK, namely 'a more strategically led, research-based approach to Management Development which combines the cost effective solutions of the (*internal and external*) management consultant with the dedication to rigour and creativity characteristic of business academics at some of the best business schools'.

(c) *Personnel Management Unit (PMU)*
Using the 'Preliminary Report on the Managerial Effectiveness Research' as a basis for discussion, the whole of the PMU staff have attended meetings and workshops specifically convened and run to identify ways for promoting desirable behaviours (as defined by their own work needs and values), and for preventing unwanted or undesirable behaviours.

Examples of the responses and proposed action points relating to four of the eight Categories of Managerial Behaviour, and which are now being implemented progressively by the PMU staff, are given below for the purpose of illustration:

(i) *Looking after team members' interests*
Use people's skills effectively. Team members to communicate their needs. Hold more integrated meetings (across grades and subgroups). Pay and personnel teams to analyse procedural problems jointly. Representatives from the team to visit other similar teams in different Collections (or Executive Units).

Set up 'topic' teams, each team being held responsible for exploring and progressing its particular topics and producing action plans.

(ii) *Gradism*
How to reduce it/prevent it.

[All members within the division are now free to use first names. A no-blame culture is being promoted where managers don't bawl each other out for making mistakes, and where recurring errors are dealt with by 'acceptable, credible and balanced feedback.']

(iii) *Communications*
Be approachable, accessible and available; information should not be kept from others. Listen and think before reacting: act with sensitivity; avoid condescending behaviour. Choose the right forum for all communications. Tackle situations face to face with the minimum of delay. Act with sensitivity. Build mutual trust and respect; create an open environment to avoid pressure or intimidation.

(iv) *Team-building*
Create a supportive climate within teams; developing people (e.g., effective communication — meeting people's needs whilst being aware of resource implications — all team members to take ownership of their own developmental needs, not just leaving it up to the manager to offer advice). Being helpful and responsive to other team members' problems; open and honest relations are vital for development. Team leaders to support rather than direct.

The PMU staff subsequently included in their individual performance appraisals those 'core factors' that they had identified as contributing to organizational effectiveness.

(d) *Other initiatives*
Teams within other parts of the Collection have since started to initiate their own workshops based on the research into managerial effectiveness, and these will be carried forward into the foreseeable future.

Reflections on the context of practice

Perceived value of research-based OD interventions

Reflecting on the organizational changes that have already been brought about within the Anglia Collection since the 1995 Annual Conference, it has become increasingly evident that a research-based OD instrument can prove to be a powerful management tool for stimulating the type of transformational shift in management culture that Dick Shepherd saw as essential for his organization. Its effectiveness has been due, so the writers believe, to a number of reasons, as follows:

> *A research-based OD instrument can prove to be a powerful management tool*

(a) Managers identified with and related well to the OD instrument because it was clear to them that it had been derived from the observations of critical incidents which they themselves had made.
(b) People felt secure because the CIs within the OD instrument had been neutralized (i.e., formed into composite CI statements which protected the anonymity of those who had contributed observations of critical incidents), and also because they knew that every composite CI statement included must have had as a foundation a minimum of three underpinning CIs gathered from various parts of the organization. Hence there was 'safety in numbers'.
(c) The instrument allowed live behavioural issues to be intensely debated amongst members of the syndicate teams which led to particular behaviours being recognized, accepted and admitted to openly as real examples of effective and ineffective management applying within the Collection. Furthermore the instrument triggered more 'focused' and 'action-centred' discussions around the aspects of managerial style and behaviour which were adversely affecting the organization.
(d) Because the participants had 'ownership' of the OD instrument it provided them with a greater incentive 'to take the issues on board', and enabled various managers when discussing the ineffective managerial behaviours to admit openly in public that they did take place

and that they were guilty of at least some of them from time to time. People at the conference indicated they were as determined to eliminate the ineffective behaviours as they were to promote the effective behaviours.

(e) The fact that ineffective critical incidents of the same type had been obtained from multiple sources throughout the Collection, and therefore were seen not to be localized to any one section (or directly attributable to any one person), generated a greater level of openness and honesty about these issues than otherwise would have been the case. It gave managers the confidence to 'own up to them', albeit collectively.

(f) From the feedback on the findings presented at the Annual Management Conference, it became apparent that the line managers were better able to appreciate and recognize the efforts that had already been made by the Collector and his Senior Management Team to improving consultation on the implementation of change. This resulted in their being more willing to face the future looking forwards, not backwards, and to approach the organizational change imperatives in a positive manner.

Observations on the critical incident research process

(a) In gathering critical incidents from managers and staff the CI interviews on average lasted for 1 hour and 15 minutes, and in that time most people interviewed were able to describe 10 critical incidents: five relating to effective and five to ineffective managerial behaviour.

(b) Although it was planned to gather critical incidents from about 60 people, in the event over 130 people were interviewed. This was not because this number was found to be necessary for the research to be valid, but because it was considered politically good to do so. Various managers and staff from every division and office at every geographic location had expressed a wish to participate in the research, and the researcher had no wish to disappoint them if it could be avoided. Unfortunately, due to time restrictions not all of the interested managers and staff could be interviewed and many subsequently voiced their disappointment. This was surprising as in the past people within the Collection had often tended to be rather reluctant to spend time filling in questionnaires or allotting time for interviews.

(c) What was also surprising was that interviewees on several occasions said that it was gratifying for them to find someone (the researcher) to listen to their concerns. It was often painful for them to recall examples of ineffective managerial behaviour particularly where critical incidents had subsequently affected them in their work (e.g., having to contend with highly autocratic or dictatorial managers). Conversely they were delighted to be able to speak about the effective behaviours they had witnessed and how these had reinforced their pride in the organization. However, the vast majority of people interviewed said that it was easier to recall the less effective incidents because of the emotional and negative effects these had on themselves, their colleagues, and the organization. This was emphasized in the fact that invariably they felt it was a relief to discuss these observations with the researcher.

(d) It is our belief that this feeling of relief came about because the researcher was perceived to be 'neutral', 'impartial' and 'non-political', and 'would not take sides' which meant individuals felt they could talk in total confidence.

This feeling of relief came about because the researcher was perceived to be 'neutral'

(e) Individuals believed they were making valuable contributions to credible research of potential value to the Collection which would probably benefit themselves through its application in, for example, management training and development programmes.
(f) Protection of the identity of managers was seen as crucial for the success of the critical incident collection phase of the research which enabled them to speak out freely.
(g) The vast majority of people were happy to respect the strict code of anonymity and confidentiality which was considered vital to the research. Two managers did attempt to find out from the researcher the actual persons who had exhibited certain critical incidents and those who had made the observations. Needless to say they did not get the information they wanted.

Concluding comments

As mentioned already, the Collector wanted his organization to increase its capability to respond and adapt to change quickly and efficiently, and not to be impeded by the effects of 'cultural lag'. Having noted the significant changes in attitude to change exhibited by so many managers as a direct result of the OD intervention at his 1995 Annual Management Conference, Dick Shepherd was encouraged to believe the research-based OD instrument had proved its value as a management tool for bringing about beneficial changes to the management culture, and for creating the necessary capabilities that would enable the organization to respond and adapt quickly to change. As Stewart (1996) says about the value of OD interventions in organizations:

> OD in theory and practice is not just about, and sometimes not at all about, managing a given change. It is essentially all about creating an organizational form which by its very nature is more capable of managing change itself.

This article has described how academic research into managerial effectiveness within the Anglia Collection of HMC&E, under the visionary leadership of Dick Shepherd, has been of crucial value in the context of informing and helping to bring about organizational change and development. Enabling managers to understand better the management culture of their organization through the findings of academic research, and by taking such cultural factors into account in the change process, are considered to have been essential factors in the effective management of organizational change within the Anglia Collection. In consequence the Collector intends to continue his relationship with academic research through the work of his Research Officer and through further collaborative links with business academics.

In light of our experience in the Anglia Collection we would strongly commend other CEOs, managing directors and top managers grappling with the complexities of organizational and cultural change issues to consider seriously investing in well-grounded academically rigorous internal research. Strategically led research-based OD and management development initiatives, based on sound research of the type described in this paper, are more likely to succeed than the plethora of 'quick-fix/off-the-shelf' solutions that are so often used in organization change programmes. Furthermore, we would strongly commend all personnel and training professionals and other human resource management/human resource development specialists, especially those in strategic roles or positions of strategic influence, to incorporate 'Action Research' as part of their everyday professional practice. To this end they might wish to consider taking advantage of the advanced professional development opportunities afforded through the type of MSc in Human Resource Development Programmes offered, for example, by the University of Wolverhampton and Nottingham Trent University. A major feature of both of these programmes is the action research component which enables participants to hone up their organizational research and change management skills, and to build additional rigour into their everyday professional practice.

Biographical note

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Changing the Management Culture in One Part of the British Civil Service Through Visionary Leadership and Strategically Led Research-Based OD Interventions

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ABSTRACT *This article reports some interim results arising from a series of research-based Organisation Development interventions in one part of the British Civil Service. The results are located in existing work on the role of culture in achieving organisation change in that sector, and lends support to the analysis of the concept of 'cultural lag', and its application, offered by Bate (1996). Two factors are identified as having particular significance. First, the importance of soundly based and rigorously conducted research in informing and supporting OD interventions is demonstrated. Second, the visible and active support of top management, and the presence of a 'visionary leader', is shown to have impact. The suggestion is made that these two factors enable OD interventions to impact on culture in support of strategic change. In particular, it is argued that the credibility of the research base, derived from its academic credentials, and the full commitment of a 'visionary leader', will be significant in achieving success in attempts to overcome the restraining forces of 'cultural lag' when implementing organisation change.*

Introduction

We begin this article with a statement of our aims and a brief review of the existing research context. It should be noted that while we acknowledge the existence of extensive literature on organisation culture (e.g. McLean & Marshall, 1991; Anthony, 1994; Brown, 1995) and on organisation change (e.g. Beckhard & Pritchard, 1992; Wilson, 1992; Dawson, 1994; Burns, 1996), we are concerned here with an examination of these concepts in a particular setting. Thus we have chosen to relate our work specifically to previous research in that setting and therefore restrict comparisons of any depth to the work of Brooks & Bate (1994), Kinston (1994) and Bate (1996).

Aims

The aim of this article is to describe how second-order organisational changes have been brought about effectively and successfully in one part of

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the British Civil Service, namely in Anglia Collection, an Executive Unit of HM Customs and Excise. We intend to demonstrate that two factors have been critical in achieving the success, the first being the visionary leadership provided by the Head of the Anglia Executive Unit (The Collector), Dick Shepherd. In a seminal work on organisational change, Tushman & Romanelli (1985) identified the role and commitment of senior management as being a necessary condition for achieving organisational transformation; our work tends to support their argument. The second factor has been the use of research-based Organisation Development (OD) interventions. In the case of the organisational change programme described in this article, these two factors have been connected in that the research was commissioned by the Collector, who also gave his active support to the subsequent and consequent interventions which arose out of, and were informed by, the findings of the research.

The use of action research in OD is of course neither novel nor innovative. It has been well documented as an established approach as has its normal concomitant, namely the researcher who acts in the role of change agent (French & Bell, 1990; Harvey & Brown, 1994). However we believe that a number of other factors have been of particular significance in this case. The research was more academic (in the best sense of that particular word) and more rigorous than many projects associated with OD consultancy. This was because the researcher was relatively more informed and skilled in the design and conduct of internal OD related research than often is the case, and she was also working with the collaborative support of a business academic. Furthermore, she was an employee of the organisation who had a good understanding of and insight into the organisation history and context, and was acting with the full and visible backing and support of the Collector. We would suggest that these factors were significant in providing credibility and 'face' validity to the research findings which, in turn, gave greater confidence in decisions and actions based on the research.

Research Context

Historically the ability of organisations to bring about cultural change has been constrained, not least within bureaucracies such as the British Civil Service. As far back as 1854 the Northcote Trevelyan Report highlighted, amongst many other recommendations, the 'need for promotion within the Service to be based on merit not seniority' (see Fry, 1979); yet the Service appears only recently to have moved towards this in any meaningful way. In 1968 the Fulton Report, commissioned by the then Prime Minister Harold Wilson, proposed a significant cultural change when it recommended that the system of classes (later to be called grades), which 'seriously impeded the work of the Civil Service', should be changed. Yet the research reported in this paper reveals that 'gradism' still exists and adversely affects the working of the Service. (*Gradism* is a fairly localised term which is descriptive of the discrimination people can feel used against them just because they are in a lower grade, or the threat that people of higher grades can feel when their status is undermined, e.g. by delayering which sometimes causes them to become further entrenched in gradist attitudes.)

A more recent example of constraints on the ability of the British Civil Service to bring about organisational change was that reported by Bate (1996) who drew attention to examples of the under achievement of the Government 'Next Steps Initiative'. This was launched in 1988 to bring about transformational change within the Service, but was only partially successful as it failed to 'spark off the required cultural revolution' at the local operational level of the Service. As revealed by the in-depth ethnographic study carried out by Brooks & Bate (1994) in one of the newly formed Executive Agencies created by the 'Next Steps Initiative', the major top-down organisational change that had been imposed from above had been frustrated by the 'cultural infrastructure at the local level which had been acting to neutralise the desired changes'. The 'frames' or 'schema' making up this local 'cultural infrastructure', which had been obstructing the realisation of the radical changes envisaged by 'Next Steps', included such cultural characteristics as, for example: 'impersonality', 'unemotionality', 'rationality', 'segmentalism', 'hierarchical and elitist attitudes', 'conservatism', 'submission', 'fatalism', 'pluralism' and 'parochialism'.

Brooks & Bate (1994) argued that these characteristics stemmed largely from 'a burning desire to control and reduce (both) personal and collective anxiety', and they saw this as having 'led to maintenance strategies directed not to change but to (the existing) order'. The cultural infrastructure so described appears to be consistent with the well known traditional Civil Service culture of putting a premium on 'a safe pair of hands' and 'the avoidance of risk taking, enterprise and good housekeeping' which were roundly criticised by Sir Robin Ibbs in his 'Next Steps' Report.

As Bate (1996) observed, the obstacle to bringing about the desired organisational transformation at the very heart of the 'Next Steps Initiative' was the existence of a resilient yet non-relevant culture within the particular Executive Agency studied by Brooks & Bate. The fact that this cultural infrastructure was not relevant consequently prevented the successful implementation of the most important elements of the 'Next Steps' change programme. The condition when a culture is not relevant to the needs of an organisational change programme has been referred to by Bate (1996) as 'cultural lag' which, he argues, has serious implications for organisational effectiveness and survival. He argues further that 'cultural lag' must be minimised if organisational change programmes involving 'second-order' change (i.e. those that can be regarded as transformational rather than incremental and thus associated with cultural as well as structural change (Tushman & Romanelli, 1985; Levy & Merry, 1986)), are to be successfully implemented.

Brooks & Bate (1994) have claimed that to implement effectively and successfully second-order organisational change programmes, specific strategies are required not only to change the culture but also to deal directly with what they term the 'politics of acceptance'. Such strategies are needed so as to 'legitimise and justify' changes at the local level, thereby securing grass roots agreement, support and co-operation. In the case of the Executive Agency studied by Brooks & Bate such a strategy was not in evidence.

Based on extensive research carried out within public sector organisations, particularly in the National Health Service, Kinston (1994) discovered how the 'management culture' of an organisation needs to be actively nurtured, developed and progressively strengthened so that the culture remains 'relevant' to the changing requirements of the organisation. He describes what happens when organisations allow once 'relevant' management cultures to go 'unattended' and thereby 'degenerate'. For example, in the case of the 'Structuralist Mode' of management which is the predominant mode in traditional public sector bureaucracies, the management culture is seen by Kinston as embodying those management values that create the 'foundation of stability, competence and routine efficiency upon which everything else can be solidly built'. However, these 'Structuralist' principles and values exist 'to permit flexibility (not rigidity), and to ensure that any crisis or challenge that hits the organisation can be handled promptly, properly and effectively (not bureaucratically)'. Unfortunately, when left unattended as is often the case in public sector bureaucracies, these values 'degenerate into a bureaucratic nightmare'. Kinston reveals how:

Individual accountability	degenerates into	*empire building*
Procedural control	degenerates into	*rigidity and red-tape*
Assigned authority	degenerates into	*pulling rank*
Teams and meetings	degenerates into	*bureaucratic paperwork and pettiness*
Minimal hierarchy	degenerates into	*status preoccupation, elitism and pecking order problems*
Maximum autonomy	degenerates into	*impersonal dealings, disconnection in values and objectives, parochialism and unhealthy competition*
Professional expertise	degenerates into	*denigrating know it all arrogance*

Such degeneration of the 'management culture' can lead to organisations becoming 'rigid bureaucracies' that are self serving, averse to risk taking and enterprise, and highly resistant to change. Many of the values associated with a degenerate 'Structuralist' management culture as described by Kinston seem to find 'echoes' with the characteristics of the local 'cultural infrastructure' which caused the Next Steps second-order change initiative to fail in the Executive Agency studied by Brooks & Bate (1994).

Organisational Context of the Anglia Collection

Dick Shepherd took up his appointment as Collector of the then East Anglia Collection in July 1991. This was at a time when several major second-order organisational transformation programmes had been attempted by the HM C & E Board. For example in September 1990 the Board launched its 'Customs and Excise People Initiative' which was aimed at allocating to its Collectors greater powers and authority for decision making in their own districts, and also at promoting a supportive environment in which personal development, local initiative and effective team working were to be fostered. This signalled the need for a major change in management style within C & E which hitherto could be described as command and control. In February 1991 the Board published its 'Next Steps Framework Document' and began the process of introducing Next Steps executive agency 'principles' into the Department. Although the Collections were not to become Executive Agencies in the true sense of the Government's Next Steps definition, they were expected to operate as semi-autonomous executive units on similar lines to the full blown Executive Agencies created in other Departments of the Civil Service. Also in 1991 there had been the impact of Prime Minister John Major's Citizens Charter Initiative which had been designed to make the Civil Service more responsive to 'customer' needs, provide more user friendly services to the public, and continue to build on the efficiency and effectiveness gains that had already been achieved resulting from the Government led 'Scrutiny Programmes' begun in the mid-1980s by Sir (now Lord) Derek Rainier. The Citizens Charter Initiative required Collectors to explore the possibilities of 'contracting out' the delivery of certain of their services, and to engage in the 'market testing' of specific services to see which supplier, in-house or external, offered the best affiliation of value for money and quality of service for the user (Greenwood & Wilson, 1989).

In analysing all of the imposed top down change initiatives that were impacting on the organisation at the time of his appointment, Dick Shepherd fully recognised the need to progressively change and adapt the cultural infrastructure of the Collection so that the culture would become wholly 'relevant' and 'in fit' with the new realities of the rapidly changing 'world' of Customs and Excise. He also recognised the need for the organisational culture to be sufficiently strengthened to face the challenges of other major organisational changes that the Collection would inevitably have to contend with and adapt to in the years ahead, whether initiated by himself or imposed from above.

In the event the Collection had to cope with three major external changes within the space of four years from 1991 to 1995. The first was the impact of the introduction of the EU Single Market in 1992 which heralded enormous change and turbulence for Customs and Excise. The second stemmed from the Government inspired 'Pay and Grading Experiment' in 1993 which was aimed at reviewing and revising the pay system and grading structure of Civil Service Departments including Customs and Excise. The East Anglia Collection was one of six Executive Units within C & E where related pay and grading experiments were carried out. These were mostly conceived and formulated at local level with the encouragement of C & E Headquarters. As part of this exercise Dick Shepherd refined the purpose and framework of the experiment and set it up to facilitate:

- reductions in the management hierarchy;
- increases in the span of control of individual managers;
- the development of grade merging; and
- the use of job titles rather than grades.

Essentially the East Anglia experiment became an exercise in 'delayering' which was judged to be very successful in its aims and objectives. The Pay and Grading Experiment within the East Anglia Collection demonstrated its ability to adapt to what amounted to a profound cultural change especially with regard to the delayering. The third change imposed on the Collection from above resulted from the Fundamental Expenditure Review (FER) initiated by the HM C & E Board in 1994; this led to the 21 Collections comprising the Department being restructured into 14 Collections of which Anglia Collection was one. It also led to the further progressive delayering of the hierarchy to the point where ultimately Collections would be expected to operate with no more than five levels of management.

At the very outset the Collector fully appreciated the many potential problems of bringing about fundamental organisational change within the British Civil Service, and therefore within C & E. He anticipated that some of the changes having to be made in the East Anglia Collection would be perceived by people within the organisation as being more difficult to assimilate than others. Some managers would be more prepared than others to accept change initiatives and to proactively promulgate and promote change amongst their staff. In contrast the conservative managers and staff would likely exhibit a reluctance for change, whilst in extreme cases others would adopt entrenched attitudes and endeavour to stifle change either overtly or covertly. Potentially this could or would create tensions within the organisation. Believing the Collection did not have the option to stand still, and realising the culture of the organisation would also need to be changed significantly if the given change imperatives from above were to be realised, Dick Shepherd decided to make three key appointments, namely:

- a Communications Officer (August 1992) to foster and improve the internal and external communication in the midst of the turbulent change;
- a Resettlement Officer (August 1992) to help people who wished to transfer out of the Collection or take early retirement; and
- a Research Officer (January 1993) to conduct academically rigorous longitudinal research on the changing culture of the organisation and to measure and inform the changes.

The contributions of the latter appointment have subsequently proven to be of pivotal significance and importance in the process of bringing about the requisite organisational and cultural changes. As Brooks & Bate (1994) stated:

> an essential rule for any change model must surely be first know your culture, then change It ... only by finding out how the present culture is put together, and why it persists, can we discover how to change it ... the flaw in many organisational change programmes requiring culture change is that they fail to take the nature of the culture to be changed into account ... change attempts within the Civil Service have tended to be strong on prescription but weak on diagnosis, especially in cultural matters.

In the case of Customs and Excise Anglia Collection 'cultural diagnosis' has been seen by the Collector as a necessary and important ingredient in the process of initiating and bringing about the organisational and cultural changes considered essential for the future health of the organisation.

Ever since his appointment the Collector, Dick Shepherd, has developed, updated and maintained a clear Corporate Vision which he has regularly shared with all people in the Collection. For managers this has been done through the Corporate Management Group (CMG) and through Annual Management Conferences which have become a major vehicle for formulating, initiating and promoting organisational change initiatives. For the Collection as a whole various organisation wide communication initiatives have been deployed such as 'Painting the Picture' (1993) which outlined his major strategic plans for the Collection for the following five years, and the 'East Anglia Expectations Document' (1994) which acknowledged the values that needed to be maintained and perpetuated in the midst of continuous organisational change and turbulence. The latter document outlined what people could expect from managers and from the organisation, and conversely what the managers and the organisation could expect in return from their people. The vision was informed by in-depth comparative research studies such as the 'Business Needs Analysis' study (Reidy, 1993) which looked at change management in other organisations in the public and private sectors.

As part of his strategy for bringing about the cultural changes deemed necessary for enabling the Collection to withstand and cope with the many organisational changes that were likely to hit the organisation, he also commissioned his Research Officer, M. Reidy, to carry out a major programme of longitudinal research as already mentioned. This has been an ethnographic study designed specifically to monitor and study the changing culture of the Collection, and to identify the factors that have been either helping or hindering the change processes.

The diverse initiatives outlined above were, in the main, successful. However, with regard to bringing about transformational change in management behaviour and hence in the management culture, they had been only partially successful. Whereas quite a few managers had lived up to the expectations of the Collector, many had not. A large proportion of managers still continued in the traditional bureaucratic mould acting, for example, more like overseers or supervisors, keeping tight control of their staff, demanding a full account for every action taken by their subordinates, and crediting themselves for the work their staff had done merely because they were in the (so called) dominant position within the chain of command. Hence at the beginning of 1995 the Collector decided there was a need to strengthen further and make more relevant still the cultural infrastructure of the Collection, particularly the management culture. This was considered an essential development if the organisation was to become more flexible and thereby even more capable of responding and adapting quickly to change, whether initiated from within or imposed from outside the organisation. In short his vision embraced the idea of Anglia Collection progressively evolving into a 'learning organisation'.

Strengthening the Management Culture

From their studies Brooks & Bate (1994) draw attention to the fact that, 'vagueness and lack of awareness of the desired future culture had accounted for the failure to bring about fundamental cultural change in the way managers discharged (*the*) department's business' within the British Civil Service. Although Dick Shepherd was generally aware of the desirable and undesirable traits and behaviours of management within his organisation, there was very little specific knowledge available for him to study and work with. Hence he commissioned his Research Officer, in collaboration with Bob Hamlin from the University of Wolverhampton, to carry out an in-depth empirical research study into the Criteria of Managerial Effectiveness as then applying within the Anglia Collection. From this study it was hoped to determine those managerial behaviours most effective (and conversely least effective or ineffective) for managing successfully within the changing structures and settings of the organisation. In terms of the processes of developing the organisation he wanted to 'hold up a mirror to his managers' so as to enable them, through self analysis, to determine their own managerial strengths and weaknesses as well as those of their colleague managers, thereby stimulating a ground swell of desire and will to significantly self-change the management culture of the organisation. As Leigh (1996) has stated 'the one greatest contribution that can be made by a development specialist (in this case the Collector of Anglia Collection) is to hold up a mirror to the organisation and help it decide how to make meaningful changes'.

Research into Managerial Effectiveness Within the Anglia Collection

The planned Programme of Research into the Criteria of Managerial Effectiveness comprised three main stages, as follows:

Stage 1. The generation of statements of behaviour and behavioural dimensions that characterise effective and ineffective management.
Stage 2. The development and subsequent administration of a Behavioural Item Questionnaire (BIQ) based on the Stage 1 findings.
Stage 3. The identification of the Criteria of Managerial Effectiveness through a process of reducing, classifying and clustering the behavioural items into behavioural categories using Factor Analysis.

For Stage 1 the well established 'Critical Incident Technique' (CIT) was used. This research method was devised and first applied by Flanagan (1951), and more recently has been used specifically for management research by, for example, Latham *et al.* (1975) in the US, and Hamlin (1988) in the UK. Essentially the application of this technique within Anglia Collection involved interviewing team leaders, their line managers, co-managers and their subordinates, and asking them as 'competent observers' to reveal examples of Critical Incidents (CIs) of 'effective' and 'ineffective' managerial behaviour which they had personally observed during the preceding six months. Each person was requested to identify and describe in detail up to ten CIs, five being examples of what they considered to be particularly 'effective' management behaviour and five examples of 'ineffective' management. Part way through Stage 1 of the Research Programme (the Critical Incident Stage), the Collector decided opportunistically to take advantage of the preliminary research findings (i.e. the 800 + critical incidents which by that time had been collected from over 100 managers), in order to create a research-based Organisation Development (OD) instrument for use at his 1995 Annual Management Conference. The main focus of this two-day conference was to be the prevailing management style exhibited within the organisation which continued to manifest many of the characteristics associated with a rigid bureaucracy, and which needed to be changed. The aim was to get managers to discuss the issue of the management style of Anglia Collection, compare it with the desired management style as agreed at the 1994 Annual Management Conference, and decide on the necessary action to bring about the required transition from a 'rigid' to a 'flexible' bureaucracy. Dick Shepherd hoped that such an OD instrument, based as it would be on research findings to which most of his line managers had contributed, would prove a more powerful management tool for facilitating his planned OD intervention than 'off-the-shelf' OD instruments, and thereby would stimulate the required transformational shift in management culture that he considered essential.

Creating the Research-Based OD Instrument

The critical incidents were first scrutinised for overlap, duplication and similarity of meaning. Only those that were found to be the same as or similar to at least two other critical incidents gathered from different districts or divisions of the organisation were used. So as to protect the anonymity of the contributing managers who had participated in the CI interviews, these critical incidents were structured as composite statements of managerial behaviour. They were then subjectively classified and clustered by the Researcher, though in so doing she was informed by her separate ethnographic research into the culture of the organisation which had been conducted in the preceding months, as well as by obvious patterns which the 'managerial effectiveness' research had revealed. In total, eight clusters of composite CI statements were created; each cluster comprised from three to five examples of effective managerial behaviour plus three to five examples of ineffective behaviour. Each of the eight clusters was then given a 'descriptive label' which best described that particular Category of Managerial Behaviour. Each category is illustrated below with an indicative range of the particular composite CI statements comprising the cluster:

Category 1: Consultation

Effective Consulting with the people on both sides of a rather sensitive issue. Ensuring that all grades are represented at consultations rather than waiting for middle/higher grades to disseminate information. Ensuring meaningful consultation by involving team members in all aspects of a reorganisation, whether of work or accommodation and not deciding for them what is important and what is not. Avoiding resentment and resistance by not springing surprises on people through making decisions behind their backs.

Ineffective Not informing the line-manager or team members of decisions being made which are vital to their work. Having surveyed team members for their opinions on work issues, fails to give a date for feedback, and thereby creates anxiety and uncertainty in the process. When disbanding a team allows its members to be the last to be informed so they learn of their fate from their colleagues in other teams. Giving only enough information to get a decision passed by the team, being vague about the precise details.

Category 2: Communication

Effective Ensuring that communications are two-way and painless both ways; allowing people to get their points across. Passing on information from management meetings to team members as early as possible in agreement with the Senior Managers. Instilling an atmosphere of corporate cohesiveness by communicating information in a positive manner. Being accessible and approachable; facilitating easy communications by not hiding behind closed doors or diverted telephones, and by being amiable, open and willing to 'walk the floor'.

Ineffective Presenting to team members a major restructured framework for the team without considering the consequences of not having previously communicated any aspects of the changes in any form. 'Having a go' at team members through written correspondence and not allowing them the opportunity to communicate face-to-face on the issue. Disseminating the contents of C & E Board and local senior management documents in a negative, critical or cynical way, and/or tainting the communication with own biased outlook.

Category 3: Open, Flexible/Heavy Autocratic Management Styles

Effective Approachable, accessible and supportive in style, empowering team members and delegating work where possible. Open in relations with team members, consulting with people at the work front who have the local and technical knowledge necessary for input on important decisions, and respecting their feedback. Supporting team members in their work and developmental decisions; backing them on decisions initially agreed with them and encouraging an open, not a blame, culture. Being honest in terms of disseminating information across the grades and not holding on to information unnecessarily.

Ineffective Treating information on a need to know basis. Giving enough information only to get an opportunity of open team relations. Not being open with people; withholding constructive feedback on poor performances but writing it up in the performance appraisal documents instead.

Category 4: Gradism

Effective Insisting on face-to-face communications and using first name terms with all grades. Sharing ownership of ideas, not being condescending nor afraid to be seen as a team player. Putting oneself into the shoes of team members and being supportive.

Ineffective Keeping people at a distance, especially those of a subordinate grade, and disseminating information on a hierarchical basis. Keeping going the closed system of work relations and trying to maintain the status quo as a means of protecting status which the old organisation structures engendered. Expecting subordinate grades to do menial tasks which have no bearing on their official duties or job descriptions, and which managers would normally be expected to do for themselves. Undermining the authority of subordinate managers and using the status of the higher grade to justify such actions.

Category 5: Co-operation

Effective Co-operating across teams in sharing work, in raising corporate awareness amongst the team members and not being overprotective of work boundaries. Co-operating with project teams sent to the districts by the regional HQ to carry out assignments. Discouraging elitism amongst team members of the sort that prevents the team looking at the overall organisational needs and targets. Co-operating with areas/districts newly assimilated into the Collection in terms of their organisational needs.

Ineffective Obstructing the delayering initiatives by insisting on authorised signatories, despite being assured that the people acting up to the required grade for the signature have been assigned the authority. Following organisation wide changes, refusing to allow subordinates to attend courses identified as being necessary for their work, and denying them developmental needs without justification. Refusing to co-operate with other managers by deliberately canvassing all of the best staff into one's own team.

Category 6: Confronting Team Members on Difficult Issues

Effective Sitting down with team members to discuss their poor performance (e.g. bad time-keeping, sloppy/ineffectual approaches to work, etc.), coming up with action plans to overcome these, monitoring their adherence to the action plans, and being prepared to implement the Inefficiency Procedure if behaviour does not improve. In situations where people are likely to be antagonistic about changes in the organisational structure or working practices affecting them, being prepared to meet them up front in person and being ready to answer questions where possible.

Ineffective Despite constant complaints by team members of having to carry people who refuse to pull their weight, taking no action to set in motion monitoring processes in case they lead to 'inefficiency cases'. Passing the buck by getting ineffectual team members transferred to other teams, thereby leaving the importing managers to resolve the problems. Being unable to confront people on difficult issues (e.g. those who they see as peers or staff with whom they are too friendly).

Category 7: Looking After The Interests Of Team Members

Effective Fighting to have staff promoted to the grade where they are likely to be most effective and for which they have the required competencies. When forming a team, determines who are the most effective people to include, but also ensures they are given the correct type of post to enable them to make most effective use of their skills, experience and qualifications. Making the effort to become acquainted with work to be transferred into one's own district from another Collection, so as to be able to advise team members on what to expect.

Ineffective Refusing to grant special leave to members of staff who are experiencing a domestic crisis. Showing no concern or consideration for a person's illness or temporary incapacity, instead looking to the needs of the organisation only. Being dismissive and cynical about the results of a major people survey conducted for the organisation, and ignoring the identified problems in the hope they would go away.

Category 8: Team-Building

Effective As team leader, provides support and resources to the team having first listened to the team members outlining their needs, then to the best of one's abilities is seen to deliver what has been promised. Being responsive and helpful to team members experiencing problems even when suffering setbacks of one's own on similar issues. Freely giving advice, either voluntary or on request; being supporting rather than directing in style.

Ineffective Failing to take action to deal with people who are disruptive in the team. Failing to exercise proper staff control to ensure all team members are kept fully occupied at all times within their agreed working hours. Telling team members that they must be aware of the value of corporate unity as teams, but then showing disloyalty towards senior management by being cynically dismissive of them.

Using the Research-Based OD Instrument

The research-based OD instrument so constructed was intended for use in syndicate workshops. It was planned for groups of managers to evaluate and respond to its contents with the aim of developing ideas and action plans for promoting the type of managerial behaviours identified as examples of effective management, and finding ways for eliminating behaviours of the type identified as examples of ineffective management. Because of the large numbers of managers attending the 1995 Annual Management Conference, it was split into two separate two-day conference events with the research based OD intervention workshop being facilitated at both. Eight syndicate groups were formed at both events, and therefore a total of 16 groups participated in the OD activities. Each group was given just one of the eight Categories of Managerial Behaviour to consider in depth (e.g. Consultation); this meant that each category (which was referred to as a topic) was evaluated independently by two groups of managers at separate events.

Following an initial briefing by the Collector on the main purpose of the 1995 Annual Management Conference, delegates were tasked in their syndicate groups with the following:

- study the list (of examples) of managerial effectiveness covering your topic;
- discuss the ways of increasing the effective behaviour and decreasing the ineffective behaviour;
- list action points to help solve this problem (of management style); you should also identify who should take this action; and
- be prepared to present your findings to the conference and allow time to deal with any questions from the main group.

Outcome of the Research-Based OD Intervention Workshops

All syndicate groups produced a wide range of ideas for change and improvement in managerial behaviour, including sets of 'progression action' points for consideration by senior managers, line managers, team leaders and/or all managers respectively. Towards the close of the conference the responses and action points of each syndicate were presented by an elected spokesperson in a plenary session. This gave everyone a chance to elaborate on the thinking behind the ideas presented and allowed the *'floor'* to ask questions. For the purpose of illustration an indicative selection of the action points proposed by the syndicate groups who evaluated four out of the eight Categories of Managerial Behaviour are given below:

Category 1: Consultation
Responses Define the things we need to consult about and those we don't. Keep people informed and explain when there can be no consultation. Explain reasons for decisions. Be honest, let people know who makes the final decisions. Set milestones for progress review decisions and say who will see the final document (i.e. the Moderating Appraisal 'box markings' Document). Consultation objectives should be mandatory in the performance appraisals of all managers.

Category 3: Open Management Style
Responses Use performance appraisal interviews and the moderating process to ensure that the requirements of being a team leader are encouraged. Run workshops with all grades present when considering and making decisions about change. Achieve better consistency in the quality of the cascade briefings. Only select and appoint managers who can demonstrate good (effective) management skills and characteristics. Team leaders should be

encouraged to put forward their teams' views without fear of 'opposing/negative' labels.

Category 5: Co-operation

Responses Managers should provide a working environment that promotes open communication, honesty and trust. Better explanations should be given by managers as to why decisions (affecting individuals and teams) are made. The Collection should produce a directory and postcode map. Explain the advantages of being considered an 'elite' team so as to counteract the negative thinking of other teams which lead to lack of co-operation. Encourage 'broader thinking' and explain the 'big picture'.

Category 6: Confronting Team Members On Difficult Issues

Responses Provide more training on the skills of confronting effectively, including inter-personal skills. Managers should involve staff more and do less telling. Encourage managers to use the Inefficiency and Disciplinary Procedures and use them properly. All managers should run at least two 'moderating' meetings per annum, and should hold regular team and individual planning and review meetings focusing on SMART objectives.

An indication of the type of proposals put forward for the other Categories of Managerial Behaviour are given later in this article.

At the end of the conference the Collector asked all of his line managers to take back to their offices copies of the 'Preliminary Report on the Managerial Effectiveness Research' in the Anglia Collection which each had received at the outset of the conference, and from which the research-based OD instrument had been created. They were encouraged to discuss with their subordinate staff the contents of the report, and to take follow up action based on the ideas that had flowed from the conference.

Whereas previous initiatives to bring about changes in management style had only limited success, on this occasion the research-based OD intervention had resulted in a very positive and constructive reaction, as demonstrated by the outcome of the 1995 Annual Management Conference illustrated above. Furthermore, as a direct result of this particular conference, several offices as well as the Corporate Management Group (CMG) in the regional headquarters have since run a diverse range of workshops based on the preliminary research findings. Some of the resulting initiatives have included the following:

1: Southend Local VAT Office (Anglia Collection)

Bill Figg and John Palmer, Senior Executive Officers (SEOs) with the support of their local senior management, have run *'Effective Management Style Workshops'* that were also open to clerical grades (i.e. Executive Officers-EOs, Administrative Officers-AOs and Administrative Assistants-AAs). The staff were asked to give their opinions on the management styles they experienced from their managers in terms of, for example, communications, consultation, assistance through mentoring and coaching, etc. A Steering Committee was set up under the chairpersonship of Sharon Packwood, an EO, to ensure that the discussions initiated at the workshops would be continued, and that action plans resulting from these implemented. Sub-Committees were formed with specific responsibility for progressing several different initiatives based on the different topics (Categories of Managerial Behaviour) chosen from the research (e.g. Consultation; Communication; Team-Building, etc.). At the time of writing further workshops were being prepared to discuss how best the findings could be carried forward in terms of improving performance through self managed work behaviour. A feature of this initiative was that not all of the participants were managers. Whilst the research into managerial effectiveness was not directly applicable to them, they considered it as being important and were willing to review their own effectiveness in the light of the research findings.

2: Training and Development Unit

The findings were used by Alex Wylie, Training and Development Officer of Anglia Collection, in some of the workshops within the 'Manager as Developer' (MAD) course which is a H M C & E central initiative. Its overall aims and objectives are:

> To assist in the creation of a departmental culture in which learning and personal development are encouraged and supported ... to equip managers to explore developmental needs with their staff; and ... to improve the quality of communication between managers and their staff.

The research findings were regarded as crucial data to inform the content of the courses particularly as the overall objectives of each course were as follows:

> Analyse, assess and facilitate the developmental needs of self and others; monitor and evaluate the results of personal development; enhance managers skills as developers of self and others; display the behaviour which promotes the development of others; encourage and support personnel in their pursuit of their own development; and use the Personal Appraisal System (including PDPs) to assist in developing self and others.

The research data has since proved valuable in setting up and progressing similar OD interventions as part of the above management training courses and for evaluating the findings. Many of the recommendations from the 1995 Annual Management Conference have found echoes with those resulting from the training workshops, with managers and staff including many of the conference 'progress actions' in their own end of course action plans. Hence the research has become an integral part of the management training courses and has directly influenced the changing reality of management practice within the Anglia Collection.

This training development within Anglia fully supports the contention of Jacobs & Vyakarnan (1994) who have argued the case for 'a more strategically led, research-based approach to Management Development in the UK' which is an approach that combines 'the cost effective solutions of the (*internal and external*) management consultant with the dedication to rigour and creativity characteristic of business academics at some of the best business schools'.

3: Personnel Management Unit (PMU)

John Hendry and Christine Moore held a staff meeting, which all members of the unit attended, specifically to discuss 'management' and 'team effectiveness', using as reference the 'Preliminary Report on the Managerial Effectiveness Research'. At subsequent workshops staff broke down the different findings into diverse 'topics'; their own responses to these were then highlighted and taken forward to action plans for implementation. The draft team objectives for the exercise were:

A. to consider the team's prime work objectives;
B. to draft an objective which would reflect the action points on effective team working, as produced in the previous session, and focus on the behaviours which would help a team reach its work targets rather than focus solely on the team's outputs.

Under each heading used in the 'Preliminary Report' (e.g. Looking after Team Member's Interests; Gradism; Communications; Team Building) the PMU staff listed their responses on how to promote desirable behaviours (desirable as defined by their own work needs and values) and how to prevent unwanted or undesirable behaviours. A few random examples of their responses and action points which were progressively being implemented at the time of writing, are as follows:

Looking after team member's interests. Use people's skills effectively. Team Members to communicate their needs. Hold more integrated meetings (across grades and sub-groups). Pay and personnel teams to analyse procedural problems jointly. Representatives from the team to visit other similar teams in different Collections (or Executive Units). Set up 'topic' teams, each team being held responsible for exploring and progressing its particular topics and producing action plans.

Gradism. How to reduce it/prevent it. (All members within the division are now free to use first names. A no blame culture is being promoted where managers don't bawl each other out for making mistakes, and where recurring errors are dealt with by 'acceptable, credible and balanced feedback'.)

Communications. Be approachable, accessible and available; information should not be kept from others. Listen and think before reacting. Avoid condescending behaviour. Choose the right forum for all communications. Tackle situations face to face with the minimum of delay. Act with sensitivity. Build mutual trust and respect. Create an open environment to avoid pressure or intimidation.

Team-building. Create a supportive climate within teams. Develop people (e.g. through effective communication—meeting people's needs whilst being aware of resource implications—all team members to take ownership of their own developmental needs not just leaving it up to the manager to offer advice). Being helpful and responsive to other team member's problems; open and honest relations are vital for development. Team leaders to support rather than direct.

The PMU has subsequently included in their individual Performance Appraisals those 'core factors' that they had identified as contributing to organisational effectiveness.

4: Other Initiatives

Teams within other parts of the Collection have since started to initiate their own workshops based on the research into managerial effectiveness, and these will be carried forward into the foreseeable future.

Perceived Value of Research-Based OD Interventions

Reflecting on the organisational changes that have already been brought about within the Anglia Collection since the 1995 Annual Conference, it has become increasingly evident that a research-based OD instrument can prove to be a most powerful tool of management for stimulating the type of transformational shift in management culture that the Collector, Dick Shepherd, saw as essential for his organisation. Its effectiveness has been due, so the writers believe, to a number of reasons as follows:

A. Protection of the identity of managers was seen as crucial for the success of the critical incidents collection phase of the research. It enabled them to speak out freely, and to feel secure in the knowledge that they were contributing to research that eventually would contribute to their own future within the organisation through, for example, its use for management training and development.

B. Managers identified with and related well to the OD instrument because it was clear to them that it had been derived from the observations of critical incidents which they themselves had made.

C. People felt secure because the CIs within the OD instrument had been neutralised (i.e. formed into composite CI statements which protected the anonymity of those who had contributed observations of critical incidents), and also because they knew that every composite CI statement included must have had as a foundation a minimum of three underpinning CIs gathered from various parts of the organisation. Hence there was 'safety in numbers'.

D. The instrument allowed live behavioural issues to be intensely debated amongst members of the syndicate teams which led to particular behaviours being recognised, accepted and admitted to openly as real examples of effective and ineffective management applying within the Collection. Furthermore the instrument triggered more 'focused' and 'action centred' discussions around the aspects of managerial style and behaviour which were adversely affecting the organisation.

E. Because the participants had 'ownership' of the OD instrument it provided them with a greater incentive 'to take the issues on board', and enabled various managers when discussing certain ineffective managerial behaviours, to admit openly in public that 'we all do that to some extent'.

F. The fact that ineffective critical incidents of the same type had been obtained from multiple sources throughout the Collection, and therefore were seen not to be localised to any one section (or directly attributable to any one person), generated a greater level of openness and honesty about these issues than otherwise would have been the case. It gave managers the confidence to 'own up to them', albeit collectively.

G. From the feedback on the findings presented at the 1995 Annual Management Conference it became apparent that the line managers were better able to appreciate and recognise the efforts that had already been made by the Collector and his Senior Management Team to improving consultation on the implementation of change. This resulted in them being more willing to face the future looking forwards, not backwards, and to approach the organisational change imperatives in a positive manner.

As mentioned already, the Collector wanted his organisation to increase its capability to respond and adapt to change quickly and efficiently, and not to be impeded by the effects of 'cultural lag'. Having noted the significant changes in attitude to change exhibited by so many managers as a direct result of the OD intervention at his 1995 Annual Management Conference, Dick Shepherd was encouraged to believe the research-based OD instrument had proved its value as a management tool for bringing about beneficial changes to the management culture, and creating the necessary organisational capabilities for effectively managing change, As Stewart (1996) stated when describing the value of OD interventions in organisations,

> OD in theory and practice is not just about, and sometimes not at all about, managing a given change, It is essentially all about creating an organisational form which by its very nature is more capable of managing change itself.

Concluding Comments

Dawson (1994) states that 'there is a small but growing body of academics in Britain and to a lesser extent in America, Australia and New Zealand, who are embracing the value and use of qualitative longitudinal research in developing a "contextualist" approach to managing change'. This article has described how academic research into managerial effectiveness within the Anglia Collection of HM C & E, under the visionary leadership of the Collector, Dick Shepherd, has been of crucial value in the context of informing and helping to bring about organisational change and development. Enabling managers to understand better the management culture of their organisation through the findings of academic research, and by taking such cultural factors into account in the change process, are considered to have been essential factors in the effective management of organisational change within Anglia Collection. This has been an important lesson on change management which supports the findings of Heracleous & Langham (1996) who have also demonstrated 'the close inter-relationship between strategic change and organizational culture' and 'the importance of conducting a cultural audit for considering the cultural implications of the desired strategic direction of the organization'.

In the case of Anglia Collection the Collector intends to continue the relationship with academic research on into the future through the work of his Research Officer and through further collaborative links with business academics. The final outcome of his commissioned Programme of Research into the Criteria of Managerial Effectiveness will be reported in future articles.

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• ARTICLES •

Bridging the HRD research–practice gap through professional partnerships
A case study

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Abstract: This article strongly supports the case for more research informed practice within the field of HRD, particularly organizationally-based research conducted as part of an 'HRD Professional Partnership' of the kind advocated by Jacobs (1997). A UK-based example of such a partnership set within one part of the British Civil Service is presented. This demonstrates how HRD practice can be profoundly influenced and enhanced by robust rigorous internal research, and illustrates the successful bridging of the much talked about 'HRD research–practice gap'. A number of lessons are drawn from this case study of particular relevance both to HRD practitioners, HRD academics and organizational leaders concerned with cultural and other strategic change issues.

Keywords Strategic change, cultural change, evidence-based management, research-based organization development, change through HRD, HRD professional partnerships

Introduction

In recent years various authors in the UK have called for more research-based approaches to management development and human resource development (see Jacobs and Vyakarnam 1994; Davies 1996; Hamlin and Davies 1996). Others have argued the case for more internal research to underpin organizational change programmes (see Quirke 1995; Stewart 1996; Hamlin and Reidy 1996, 1997). Active participation in such research by HRD practitioners and members of the research community, whether business academics or consultants, is believed by the authors of this article to be a vital requirement for effective HRD practice; a view shared with Swanson (1997) in the USA.

He advocates that HRD professionals should advance their professional practice by becoming truly expert practitioners through what he calls 'back-yard' research. He describes this as 'the systematic investigation and inquiry embedded in the ongoing work of the organization but *conducted* with the rigour of academic research' (emphasis added). Commenting from the US perspective, he argues that 'HRD void of operating principles, theories and good research to guide the HRD effort leads to poor professional practice and undermines the whole credibility of HRD'. In contrast he observes that 'thoughtful and expert HRD practitioners do indeed apply research findings in their day-to-day work decisions'. Similarly Leimbach and Baldwin (1997) argue that 'research will enhance any HRD intervention, improving its efficiency, effectiveness and impact on organizations, teams and individuals', whilst Jacobs (1997) contends that 'the HRD field depends on research being considered an essential counterpart to practice, not an optional activity when convenient nor an extravagance when financially possible'. However, drawing on the observations of Leimbach (1995) and Ferris *et al.* (1995), Jacobs draws attention to the fact that 'there have been relatively few instances in the field of HRD that actually illustrate how HRD practice has been profoundly influenced by research and vice versa'.

As already indicated above, from our own experiences as HRD practitioners and HRD academics operating mainly within the UK context, we strongly support the case for more research-informed practice within the HRD field, particularly organizationally-based HRD research done in collaborative partnership between HRD practitioners and HRD academics. Our reasons are the same as those put forward by Jacobs (1997) who argues HRD collaborations between organizations and universities should be 'professional partnerships', as opposed to 'service agreements' which have been the basis of most HRD collaborations in the past. In a 'service agreement' the organizationally-based HRD practitioner tends to set the requirements for the research study. This often results in limiting the HRD academics' opportunity both in terms of the scope and time-scale for the research. In following the organization's wishes this usually means the research study does not go beyond meeting an immediate short-term need, and more often than not there is insufficient rigour or focus in the research. This limits the usefulness of the findings beyond the present situation and limits any wider application of the research within the organization. Thus, in a 'service agreement', the balance of emphasis 'is tilted to the wishes of the practitioner without regard being given to advancing HRD as a field of practice or study'. In contrast, Jacobs contends that organization partners in an HRD professional partnership are 'willing to invest in research to advance the HRD field as well as to meet the organizational needs'. Also the 'professional partnership' recognizes that

> HRD scholars and HRD practitioners enter with their own respective goals for the collaboration, that maintaining the integrity of those goals for the common

> good is important and, although the goals may differ, they complement each other. Thus, with a professional partnership, there is a dual goal of advancing the HRD field as well as improving the organization.

However, he comments that the task of getting HRD collaborations viewed as 'professional partnerships' rather than as 'service agreements' remains a challenge for HRD professionals. Holton *et al.* (1998) have recently presented a US example of a 'professional partnership' that was pivotal in planning the implementation of a performance consulting model of HRD practice in a municipal government HRD department. The case study illustrates how HRD research and theory, which were integrated into practice through a university–organization HRD professional partnership, enabled HRD practitioners to advance their practice significantly.

The aim of this article is to describe and discuss a UK-based example of such a 'professional partnership', which illustrates how HRD practice was profoundly influenced through a successful bridging of the HRD research–practice gap. The partnership was set within an executive unit of one of the Departments of the British Civil Service. Namely the Anglia Region of HM Customs & Excise (HMCE) which is one of fourteen executive units comprising HMCE within the UK. The partners in this instance included Dick Shepherd, the regional head of Anglia, Margaret Reidy his internal research officer/HRD consultant, and Bob Hamlin and Jim Stewart who are HRD academics/practitioners at the University of Wolverhampton and Nottingham Trent University, respectively. The case study concerns the issue of effecting change in the management culture of Anglia, and describes how second-order organizational change was and continues to be brought about effectively and successfully through HRD initiatives based on the findings of robust internal academic research.

The research programme included, amongst others, an extensive ethnographic longitudinal case study on the changing culture of the organization and its inherent attitudes and behaviours, plus a complementary empirical research study into the criteria of managerial effectiveness. Enabling managers to recognize and understand better the cultural characteristics of their organization, through the findings of this research, is considered to have been critical to the success of the action research-driven HRD interventions deployed in effecting change in the management culture. The use of action research as an HRD method was neither novel nor innovative, for it is an established OD approach that has been well documented (see for example French and Bell 1990; Harvey and Brown 1994). However, the authors believe that a number of factors were of particular significance in determining the success achieved in this case. First, the research was more rigorous than many projects associated with HRD consultancy. This was because the internal HRD practitioner who conducted the field work was relatively more informed and skilled in the behavioural sciences and in the design and conduct of internal research than often applies; she was also working in collaborative partnership with business academics. Second, as an employee of the organization she had a deep understanding of the organizational history and context, and was acting with the full and visible support of the Regional Head, Dick Shepherd. The authors suggest that these factors were significant in providing added credibility and 'face' validity to the research findings which, in turn, gave greater confidence in the decisions and actions that were subsequently based on the research.

From here the article sets out to provide some additional contextual background to the organizational setting and the nature of the HRD professional partnership that was formed. It then describes in limited detail the empirical research programme on managerial effectiveness, the results of which were used specifically to inform and shape the development of HRD intervention tools for bringing about change in the management culture. This is then followed by a discussion of the research-based HRD practice and HRD professional partnership as experienced within Anglia. The article closes with several concluding comments and observations drawing the attention of both HRD practitioners and HRD academics to a number of lessons that have emerged from the Anglia experience of bridging the HRD research–practice gap.

The organizational context

It has been well documented in the British management literature that bringing about change within the British Civil Service has been a slow and protracted process (see Fulton 1968; Fry 1979; Bate 1996). Numerous transformational change programmes initiated by successive governments have been obstructed by the deep-seated traditional culture of the Civil Service characterized by, for example, people 'putting a premium on a safe pair of hands; avoiding risk taking, enterprise and good housekeeping and adopting hierarchical and elitist attitudes'; and by cultural characteristics such as 'impersonality'; 'conservatism'; 'fatalism'; 'parochialism'; 'rigidity'; 'red-tape'; 'bureaucratic pettiness'; and 'status pre-occupations', the latter being referred to in the Civil Service as 'gradism' (see Ibbs 1988; Brooks and Bate 1994; Kinston 1994).

At the time of his appointment as Regional Head of Anglia in 1991, Dick Shepherd found himself in a region which, whilst productive, was working with a predominant 'command and control' style of management. However, to reflect the changing organizational environment where year-on-year demands to deliver more for less were being made by the department, the management style needed to be changed, not least because it no longer sat well with the changing managerial philosophy being articulated by the board of HMCE. Furthermore, to cope effectively with the various change programmes that he anticipated would be imposed 'top-down', and those to be initiated by himself, he concluded a new cultural infrastructure was required: one comprising cultural characteristics such as 'flexibility', 'risk-taking', 'enterprise' and 'innovation'. Also he believed passionately in the concept of empowering people and teams. However, this required team managers who could provide the right type of leadership when acting both as team heads and team members, and who could create the right type of work climates for their people. Having set out his expectations clearly to the organization, and having encouraged his managers to adopt a more open style of management, he found that change was slow to happen due to the effects of 'cultural lag'. This is a term Bate (1996) uses to describe the condition when culture is no longer relevant to the needs of the organization.

Dick Shepherd realized he needed to understand better the resilient yet no longer relevant culture of his organization so as to know how best to change it. He saw cultural diagnosis as a necessary ingredient in the process of initiating and bringing about the change he considered essential for the long-term organizational health of his executive unit. Hence he appointed Margaret Reidy as his research officer to carry out internal management research. Soon after her appointment she commenced a major ethnographic longitudinal case study on cultural change designed to help inform, shape and measure the changes Dick Shepherd had set his mind to bringing about. In the main, the change programmes he initiated were successful in terms of changing the structure, systems and procedures of the organization. However, the desired changes in management culture were only partially achieved as had been revealed by the longitudinal research. The cultural study had enabled the emerging patterns of managerial and organizational behaviour to be seen and understood over time, and also the areas where cultural lag existed to be detected. It transpired that a large proportion of managers persisted in managing in the traditional ways of the British Civil Service.

Hence, at the beginning of 1995, Dick Shepherd decided he needed to address further the issue of how to change the management culture in order to make it more relevant and 'in fit' with the changing organizational requirements. He considered this a vital development for Anglia. Although he was aware of the desirable and undesirable managerial behaviours exhibited by his managers, as revealed by the 'ethnographic' research, he felt he needed additional evidence before taking action. He wanted to be convinced as to those behaviours that were particularly effective for managing successfully within the changed organization and which, therefore, needed to be encouraged and promoted; also those behaviours that were least effective or ineffective which needed to be discouraged or eliminated. He wanted to do what Leigh (1996) suggests good OD consultants do, namely, 'hold up a mirror to managers to help them decide how to make meaningful change'.

Furthermore, he and Margaret Reidy were curious to know whether a different research methodology would substantiate the longitudinal ethnographic research findings. Hence they decided an empirical research study into the behavioural aspects of management should be initiated, but carried out in partnership with an outside business academic who could provide the necessary advice and support for this type of research.

The HRD professional partnership

The HRD professional partnership discussed in this article comprised two strands which operated in tandem; the one concerned with the ethnographic research, the other with the empirical. The two strands came about at different times. In the case of the ethnographic strand of the partnership Margaret Reidy decided, soon after commencing the longitudinal case study into cultural change, to study for a Ph.D. degree. In this endeavour she had the full support of her manager, Dick Shepherd. Having worked in association with Jim Stewart, an HRD academic/practitioner from the Nottingham Business School who had carried out consultancy work for Dick Shepherd at Anglia, she registered at the Nottingham Trent University with Jim as her director of studies. However, besides acting in this 'research supervisor' capacity, he also operated in an advisory role acting as a sounding board for Dick Shepherd and Margaret Reidy on the application of the findings of the ethnographic research. Hence, in essence, the student/supervisor and consultancy relationships in combination were a form of HRD professional partnership.

The empirical strand of the HRD professional partnership came about quite differently to the ethnographic strand. As previously mentioned, Dick Shepherd and Margaret Reidy were curious to know whether or not other insights into the management culture of Anglia could be gained from using different research methodologies. Knowing of Bob Hamlin's previous record of conducting research into the Criteria of Managerial Effectiveness within other organizational settings, and of its success in providing valuable insights into managerial behaviour and culture, they wanted a similar programme of quantitative research to be conducted in parallel with the on-going qualitative longitudinal case study. The empirical strand of the partnership differed from the ethnographic in that it was a wholly voluntary and non-contractual arrangement with each partner entering the partnership with quite different yet complementary personal goals. However, all three partners strongly subscribed to the dual goal of advancing the HRD field as well as improving the organization. Their mutual expectation was for the research to be conducted with sufficient academic rigour and focus to yield results suitable not only for wider application within HMCE (should this become a requirement), but also worthy of publication in refereed academic journals subject to HMCE permission being given.

The internal research programme on managerial effectiveness

The managerial effectiveness research programme focused upon the management task of higher executive officers (HEOs) and executive officers (EOs) who had significant amounts of people management responsibility within their respective roles. It comprised three stages, as follows:

- Stage 1: the generation of statements of behaviour and behavioural dimensions that characterized effective and ineffective management.
- Stage 2: the creation and administration of a behavioural item questionnaire (BIQ) based on the Stage 1 findings.
- Stage 3: the identification of the criteria of managerial effectiveness through a process of reducing, classifying and grouping the behavioural items into behavioural categories using statistical methods.

Stage 1 was conducted using the well-established critical incident technique (CIT) after Flanagan (1951), as used by Latham *et al.* (1975) in the USA and Hamlin (1988) in the UK. This stage involved interviewing over 130 line managers, team leaders and staff to obtain examples of 'effective' and 'ineffective' management applying within all parts of Anglia. Each person was asked to describe five incidents of effective and five incidents of ineffective managerial behaviour which they had personally observed within the preceding six months. Managers were not allowed to volunteer critical incidents (CIs) based on their own managerial practice, but rather those they had observed in the management practice of colleague managers with whom they worked. In total over 1,200 CIs were collected.

Stage 2 comprised the detailed sorting of the CIs which revealed a high degree of overlap, duplication and similarity of meaning. Only those that were found to be the same as or similar to at least two other CIs gathered from different divisions or offices of the organization were used. In order to protect the anonymity of the contributing managers and staff, certain critical incidents were structured into composite statements of management behaviour. The BIQ so created comprised eighty-three discrete behavioural items to which were attached Likert rating scales. The BIQ was then administered to the HEOs and EOs not only for them to rate their immediate subordinates (top-down rated), but also themselves (self-rated).

Stage 3 involved the use of factor analysis for establishing job dimensions and performance criteria from the respective top-down and self-rated data and from these two sets of data combined. The effective and ineffective behavioural items comprising the BIQ were factored separately producing positive and negative factors. The underlying meanings of each of the extracted factors (criteria) were then interpreted, categorized and labelled using the descriptive labels shown in Figure 1. For the purpose of illustration, the correlated behavioural items comprising the top-down criteria entitled 'active supportive leadership', are given in Figure 2.

'TOP-DOWN' RATED DATA	
Positive Criteria	**Negative Criteria**
1. Active Supportive Leadership. 2. Team Orientation. 3. Proactive Management. 4. Effective Delegation/Empowerment. 5. Developing Others. (Training, coaching, mentoring.)	1. Uncaring, Self-serving, Management Focus. 2. Tolerance of Poor Performance/Low Standards. 3. Lack of Emotional Control/Adjustment. 4. Resistance to Change and Abdicating Responsibilities. 5. Autocratic/Dictatorial Management. (Lack of concern and consideration for staff.) 6. Depriving Individuals of Recognition, Reward and Developmental Opportunities.
'SELF'-RATED DATA	
Positive Criteria	**Negative Criteria**
1. Empowering/Communicating Widely. 2. Supportive/Participative Leadership. 3. Proactive Team Leadership. 4. Active Development of Others (Training, coaching, mentoring.) 5. Proactive Management. 6. Managing Change.	1. Exhibiting Gradist Behaviour. 2. Autocratic/Dictatorial Management. (Lack of concern or consideration for others.) 3. Narrow/Parochial Behaviour. 4. Manipulative Behaviour. 5. Lack of Emotional Control. (Manifesting extreme irrational behaviour.) 6. Irrational Management. (Disorganised, incipient, political.) 7. Ignoring/Over-riding Needs of Individuals and Organizations. 8. Entrenched Management Thinking. 9. Depriving Individuals of Support and Developmental Opportunities. 10. Being Deliberately Obstructive. 11. Passing the Buck/Inconsiderate to Other Teams. 12. Uncaring Management.
'COMBINED' RATED DATA	
Positive Criteria	**Negative Criteria**
1. Empowering and Effective Delegation. 2. Active Supportive Leadership. 3. Proactive Management. 4. Development and Training. 5. Managing Change.	1. Tolerating Poor Performance and Low Standards. 2. Managing for Self-interest Only. 3. Lack of Emotional Control/Adjustment. 4. Autocratic/Dictatorial Management. 5. Narrow/Parochial Behaviour. 6. Resistance to Change.

Figure 1 'Positive' and 'negative' criteria of managerial effectiveness

For this criterion there appeared to be one common underlying category of behaviour which could be summed up as a *leader actively providing help and support to individuals.*

- Brings to the attention of own line manager the successes of own team members and seeks due recognition for them.
- Gives recognition, appreciation or praise when due to team members.
- Stands up and/or fights for or defends the interests of subordinates.
- Identifies training/developmental needs of team members and puts forward requests/business cases for suitable courses.
- Actively seeks to ensure staff have the necessary resources for the job, including, for example, operational equipment, adequate staffing, technical support and any data or sets of guidelines required.
- Accompanies team members faced with potential operational difficulties, physical danger or other stressful situations.
- Helps team members who have been ill or are overwhelmed with domestic crises.
- Involves team members in team events in order to determine the aims, objectives and action plans of the team.
- Shows an interest in and listens to the concerns and anxieties of staff and takes positive action to address the problem.
- Gives people time to acclimatize and adjust to changes in organizational structure and/or systems rather than confronting them with an imposed 'big bang' approach to change.
- Makes him/herself available to give back-up support to team members.
- Initiates, promotes, supports, personal development of staff.
- Actively encourages and supports developmental and organizational initiatives taken by staff.

Figure 2 Behavioural items comprising the 'top-down' rated Criterion 1: Active Supportive Leadership

The findings of the managerial effectiveness research were compared against those of the longitudinal ethnographic longitudinal case study in an attempt to identify difference. In the event, the comparison revealed a very high degree of consistency between the two sets of behavioural findings. The empirical research picked up and reflected in a snapshot form some of the same key categories of managerial behaviour that had been identified over time by the ethnographic longitudinal research. Nothing of surprise or of significant difference emerged from the empirical study. In fact, the degree of consistency and dove-tailing of the two sets of findings proved that both research studies were robust and substantiated each other.

However, to further validate the managerial effectiveness research it was decided to re-administer the managerial effectiveness BIQ approximately twelve months later. In the event, a smaller-scale version of the BIQ was developed using twenty of the 'effective' behavioural items concerned with the 'leadership' aspects of management as revealed by the research. This change of plan was triggered by the fact that at the time HMCE was in the process of developing its own version of the European Foundation Quality Model (EFQM), and wished to create in-house criteria for the leadership component of the model. As the timely findings from the Anglia managerial effectiveness research appeared to be relevant and credible, Margaret Reidy was asked by HMCE to progress the research further with the express purpose of identifying, if possible, criteria of leadership effectiveness. The twenty-item 'leadership effectiveness' BIQ thus created was administered in two versions, one for managers and team leaders to 'peer-rate' colleagues, and the other for team leaders to 'self-rate' themselves.

Factor analysis was again used to reduce, group and classify the behavioural items into behavioural categories/criteria which were labelled using the descriptive labels shown in Figure 3. For illustration the behavioural items comprising the criterion entitled Empowering People; Providing Help and Creating a Supportive Climate' is given in Figure 4.

Peer-rated

I Empowering People; Providing Help and Creating a Supportive Climate.
II Developing Self: Developing Others and Enabling Involvement and Participation of Others in Decision-making.
III Promoting Open and Honest Communication and a Corporate Approach.

Self-rated

I Empowering People and Encouraging Self-reliance in Problem-solving and Decision-making.
II Adopting a Corporate Approach and Involving People in Corporate Issues.
III Building and Developing Effective Teams; Effective Teamwork.
IV Providing Sound and Expert Advice and Professional Support to People.

Figure 3 'Positive' criteria of 'leadership' effectiveness

- Encouraging people to 'learn from their mistakes'.
- Helping/empowering/allowing people to work through their own problems.
- Helping/supporting people deal with complex work.
- Helping others in a corporate manner to handle/resolve problems.
- Non-intrusive management-empowering people to get on with the job.
- Providing back-up support in diverse and problematic situations.
- Supporting people through giving due recognition/credit.
- Being supportive in difficult times.

Figure 4 Behavioural items comprising the 'peer'-related Criterion 1: Empowering People; Providing Help and Creating a Supportive Climate

About the research-based HRD practice in Anglia

The research findings were used at different stages of the research programme to help inform and shape various organization and management development initiatives and other HRD interventions designed to help bring about changes in the management culture, as follows.

Research-based organization development initiatives

Part of the way through Stage 1 (the CIT stage) Dick Shepherd took advantage of the preliminary research findings to create a research-based OD instrument for use at his 1995 Annual Management Conference which was attended by all of his managers. This was the forum he used each year as a vehicle for progressing organizational change within his region. The aim on this occasion was to get his managers to discuss and confront various persistent managerial behaviours associated with the traditional 'command and control' style of management – a style which had become inappropriate for managing effectively in the 'flexible' bureaucracy he was striving to create. He anticipated that an OD instrument devised from internal research to which most of his managers had contributed would prove more powerful than off-the-shelf or adapted OD instruments of the type frequently used by trainers, developers and consultants. Over 800 CIs were subjectively classified and clustered into eight categories of managerial behaviour, each comprising examples of effective and ineffective management. The descriptive labels for each category, which were subjectively determined, were as follows: 'Consultation', 'Communications', 'Open management style', 'Gradism', 'Co-operation', 'Team building', 'Confronting team members on difficult issues' and 'Looking after the interests of team members'.

The OD instrument so constructed was used in syndicate groups with each group of managers given one category to consider in depth. Their task was to identify ways of increasing the effective and eliminating the ineffective managerial behaviours as had been revealed by the research. All syndicate groups produced a wide range of ideas for change and improvement which were then presented to the conference in plenary session. This allowed the floor to ask questions and for live issues to be debated intensely in a safe atmosphere. People felt secure because the CIs had been neutralized in the form of composite statements and their personal identities had been rigorously protected during the CIT stage of the research. Also, they knew that for a statement to be included in the BIQ instrument it had to be based on at least three CIs drawn from different parts of the organization. The anonymity achieved assured managers that no particular statement could be attributed to any one person, and enabled them to speak out freely and openly about the problems of managerial effectiveness that still existed within Anglia. It gave managers the confidence to admit in open forum their own ineffective behaviours and to commit themselves to action in public, albeit in some cases collectively.

Whereas previous initiatives to bring about change in the management style had had only limited success, on this occasion the research-based OD interventions resulted in very positive and constructive reactions. Furthermore, as a direct outcome managers were inspired to initiate a diverse range of localized organization development initiatives based on the research. These developments have been reported in some detail elsewhere (see Hamlin and Reidy 1997; Hamlin *et al.*, 1997).

Research-based management development initiatives

Upon completion of Stage 3 of the research programme, the findings were used to develop a number of 'self-analysis framework tools' to inform and shape several management development initiatives designed to support managers through the change process. At the time of writing, research-based team effectiveness workshops were being conducted within the organization. These have enabled team leaders and team members to obtain feedback from colleagues without risk of compromising their positions or relationships within the organization. So far, the workshop 'tools' have focused on such issues as 'consultation', 'communication', 'gradism', 'co-operation within and across teams', 'team awareness', 'corporate awareness' and 'parochialism'.

Outcomes from the research-based HRD practice

The research-based HRD practice outlined above has been successful in engaging the active interest and commitment of Anglia people to the process of strategic change. Managers have gone much further in their thinking than has been the case with past organizational change programmes. The longitudinal research has demonstrated that managers have moved away from 'clinging to the past' and 'defending the status quo'. Instead, evidence indicates they are looking forwards rather than backwards, are actively engaged in promoting change, are proactively empowering their staff, are generally more self-reliant, and are no longer subscribing to old notions of hierarchy, deference and centralized autocracy. Furthermore, the managers who attended the first series of MD/OD workshops piloted by Margaret Reidy are taking full ownership for further progressing the change process. They are now initiating and facilitating repeat workshops by themselves based around the 'framework tools'.

Whereas people in Anglia had not always responded well in the past to certain organizational change initiatives, particularly those involving consultants using external research or adapting off-the-shelf OD instruments that failed to 'ring true', they were willing to move forward with cultural change through the impact of HRD interventions based on the in-house research initiated by Dick Shepherd. This was because the research findings struck a chord, based as they were on the actual localized experiences of Anglia people expressed in their own words. The findings presented an accurate picture of the actual realities of management as practised, experienced and observed within the organization, both the 'good' and the 'bad'.

Discussion

On the research-based HRD practice in Anglia

The HRD professional partnership, as reported in this article, undoubtedly provided Dick Shepherd with the well-grounded, rigorous research that he sought in support of the culture change he had set his mind on bringing about. As he says in his own words:

> it is very difficult to change a culture from within because I myself and my whole management team come from the very system that we are trying to change. . . . However, the product of the research and the assurance that it was based on sound methods which drew on established knowledge gave me the impetus, and indeed sometimes the courage, to keep going.

His experience of promoting strategically led research-based HRD initiatives for effecting change in management culture provides strong evidence in support of Quirke (1995), who claims that 'the use of research as an instrument on the corporate dashboard' provides 'continual feedback that allows greater responsiveness', and helps 'to speed up the changing of behaviour within organisations'.

The organizational changes brought about by Dick Shepherd since his 1995 Annual Management Conference attest to the fact that research-based HRD can be particularly powerful for stimulating and effecting transformational shifts in management culture. Enabling managers to understand better the culture of which they are a part through the findings of academic research, and by taking cultural factors into account in the change process, are seen as having been essential elements in the effective management of change in the case of Anglia. However, it should be noted that the perceived benefits and value of the particular research-based HRD initiatives reported here centre around the attributes of the 'academic rigour and credentials' of the internal research effort, of the 'strict codes of anonymity and confidentiality' that were applied, of the 'sense of ownership' of the data, and the 'relevancy' of the research. All of these factors contributed to creating the climate and conditions whereby 'real live behavioural issues and problems' could be debated intensely with a high level of openness and honesty being displayed. This led to actual examples of effective and ineffective management within Anglia being recognized, giving managers the confidence to commit themselves to action in public, and to approach the required organizational changes in a more positive manner and with a sense of common purpose and ownership.

It is the view of the authors of this article that the Anglia example of strategically led research-based HRD practice has demonstrated, in the words of Swanson and Holton (1997), 'the importance and value of rigorous research as a tool for getting results that meet or exceed the performance outcomes that organizations require of HRD practitioners'. It also supports the findings of Dawson (1994) who reports the 'value and use of qualitative longitudinal research in developing a "contextualist" approach to managing change'. Additionally it illustrates the arguments of Heracleous and Langham (1996) who point out 'the close inter-relationship between strategic change and organisational culture' and emphasize 'the importance of conducting a cultural audit for considering the cultural implications of the desired strategic direction of the organisation'.

Furthermore, it answers in part the call of Jacobs and Vyakarnam (1994) for 'more strategically led, research-based approaches to management development in the UK based on dedication to rigour and the creativity characteristics of business academics'.

On the Anglia HRD professional partnership

As can be inferred from the Anglia experience of research-based HRD practice, the challenge of getting HRD collaborations viewed as 'professional partnerships' rather than as 'service agreements' to which Jacobs refers, has been largely met. From the outset, the HRD collaboration between the Anglia region of HMCE and the two respective universities was viewed by all of the active participants as a 'professional partnership' of the kind defined by Jacobs. This was mainly due to the enlightened attitude of Dick Shepherd who was a strong proponent of the use of internal management research in support of evidence-based professional practice, and who recognized the importance and value of academic rigour and integrity in research.

Furthermore, it should be noted that another key factor in the success of this particular HRD collaboration was the visionary leadership of Dick Shepherd. It was he who initiated the ethnographic and empirical research studies in the first place, and who subsequently promoted the use of the research findings to help bring about organizational change. He was also sympathetic and generous in giving permission to the other HRD partners who wished to disseminate information about the Anglia experience through conference papers and journal articles for the purpose of advancing the HRD field. His approach encouraged Bob Hamlin and Jim Stewart to give freely of their time to the Anglia HRD professional partnership because of the potential 'payback' to themselves. Namely, the prospect of contributing to the creation of, and having access to, the findings of credible internal research that they could use in support of their own scholarly activities. The partnership in turn afforded Margaret Reidy ready access to academic advice and expertise, and helped enhance and sharpen the edge of her internal research studies as well as her own academic work.

Concluding comments

The Anglia case study provides a good example of the integration of HRD research and practice through an effective HRD professional partnership which demonstrates one way of successfully bridging the HRD research–practice gap. Several lessons can be drawn both by HRD practitioners and HRD academics from this example.

As change agents concerned with effecting organizational change and development, HRD practitioners should recognize the particular value of internal research. It is suggested more trainers and developers should be striving to become more skilled in conducting internal 'academic' research as a means of enhancing their effectiveness as evidence-based practitioners, particularly when collaborating with line managers in major organizational change programmes. If not personally engaged in conducting research, then they should activate and promote its application to inform and shape the change initiatives. Furthermore, they should consider seriously the formation of HRD professional partnerships with HRD business academics of the type advocated by Jacobs. This is because such partnerships not only add extra weight to the academic credentials of the research, but also make it easier to protect the research strategies from being adversely influenced by the internal politics of the organization. In the case of Anglia, because the research was perceived as having an academic as well as practical purpose through its overt links with the two universities, people respected Margaret Reidy's insistence on maintaining the academic integrity of the research, and her resistance to the premature release of the research findings.

In setting up an HRD professional partnership, the importance of securing the active interest of a top manager should not be under-estimated. Clearly, if the research is to have maximum impact in helping the organization improve, then both managers and staff need to develop a sense of common ownership and a willingness to take notice of the research findings. They are more likely to do this if they see that the research programme is aligned with what is strategically important to the organization, that it is supported by top management, and they themselves have been contributors to the research.

An important lesson for HRD academics from the Anglia case study is to recognize the great potential for academic research from forming HRD 'professional partnerships' between universities and organizations as opposed to 'service agreements'. Ormerod (1996) commends business academics to become engaged in management consultancy as 'this can lead to valuable research'. However, management consultancy is more likely to be subject to 'service agreements' in which the scope for academic research can be restricted or non-existent. Hence we would particularly commend HRD academics interested in organizational change and development to become participants in HRD professional partnerships, as these can afford much greater potential for generating an output of credible HRD research. Hence they should focus more of their research effort towards supporting HRD practitioners in order to advance not only the HRD knowledge base, but also the practice of HRD. This might require HRD academics, in a more proactive way, to seek out and forge links with research-minded HRD practitioners employed within organizations, of whom some might be ex-students from Masters programmes. Working in professional partnership with a strong network of research-active HRD practitioners based in several different organizations, an HRD academic will more likely initiate and generate far more research output than would be the case if he or she researched alone with only the occasional help of Ph.D. students or research assistants. Furthermore, the research results will likely prove more relevant and of greater interest to HRD practitioners than much of the existing HRD literature.

Finally, another important lesson emerging from the Anglia case study for top managers engaged with the management of strategic change, particularly where a change in culture is required, is the need to develop an in-depth understanding of the culture plus the necessary insight to interpret the emerging patterns of behaviour. Additionally, they need to have ready access to a sufficient amount of data for interpreting accurately what is actually going on deep inside the organization, particularly the cultural factors causing things either to happen or not to happen. As the Anglia experience demonstrates, a combination of commissioned ethnographic longitudinal research and empirical research can be, as Dick Shepherd says, 'of enormous value in bringing about culture change'. To this end, HRD professional partnerships can make an important contribution.

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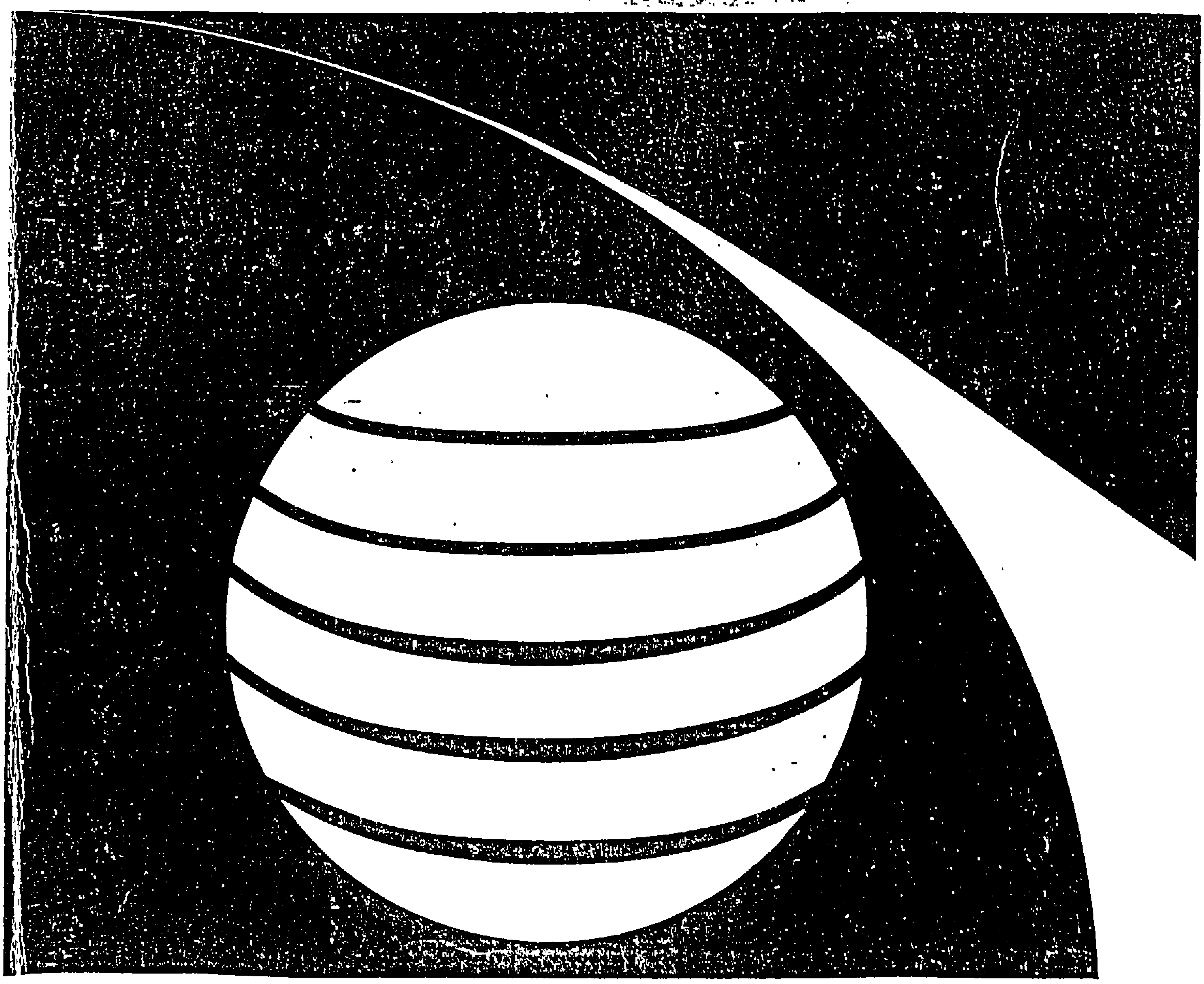

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Effecting Management Culture Change through Research-Based Management Development: A British Case Study

Robert G. Hamlin, Margaret Reidy, and Jim Stewart

This article describes how OD/MD initiatives, based on the findings of rigorous internal empirical research conducted through an HRD professional partnership between in-company practitioners and university business academics, helped bring about second order changes in the management culture of one part of the British Civil Service. The article argues that the credibility of the internal research, derived from its academic credentials, and the visionary leadership of the executive head of the organization were the most significant factors in overcoming the forces that constrained the planned strategic change. This United Kingdom case study lends support to recent calls in the British and United States management literature for more use of strategically-led, research-based approaches to management and organizational development.

Introduction

In recent years various authors have been calling for more research-based approaches to management development (MD) and human resource development (HRD). For example, in the United States, Swanson (1997) has argued the case for HRD professionals to advance their professional practice by becoming truly expert practitioners through what he calls "backyard" research, and Jacobs (1997) has argued for collaborative partnerships between HRD practitioners and HRD scholars for integrating research and practice.

Similar arguments have been made in the United Kingdom by, for example, Jacobs and Vyakarnam (1994) and Hamlin and Davies (1995), and other writers have argued for more internal research to underpin organizational change programs (see Quirke, 1995; Stewart, 1996; Hamlin & Reidy, 1997).

In our view, active collaborative partnerships between HRD/MD practitioners and business academics are becoming increasingly important in the drive for excellence and expert practice.

In our view, active collaborative partnerships between HRD/MD practitioners and business academics are becoming increasingly important in the drive for excellence and expert practice. Yet, as Jacobs has observed, there have been relatively few instances in the field of HRD that actually illustrate how HRD in practice has been "profoundly influenced by research and vice versa" (Jacobs, 1997, p. 47).

The aim of this article is to provide a UK-based example of a collaborative partnership of the type discussed by Jacobs which has successfully bridged the HRD research/practice gap, and is bringing about major changes in management culture within the organization in question. The partnership is set within a Department of the British Civil Service, namely the Anglia Region of Her Majesty's Customs & Excise (HMCE), which is one of fourteen HMCE regions within the UK. The partners in this instance include Dick Shepherd, the regional head of Anglia, Margaret Reidy, his internal research officer/OD consultant, and Bob Hamlin and Jim Stewart, two business academics/HRD practitioners from the University of Wolverhampton and the Nottingham Trent University respectively. The case study describes how second-order changes in management culture have been and continue to be brought about through MD/OD initiatives based on the findings of rigorous empirical internal research designed to identify the criteria of managerial/leadership effectiveness. The application of these behavioral criteria for the purpose of measuring managerial competencies and developing effective leaders is also described.

Background to the Organizational Context

It has been well documented in the British management literature that bringing about change within the British Civil Service has been a slow and protracted process (Bate, 1996; Fry, 1979; Fulton, 1968). Numerous radical organizational change programs initiated by successive governments have been obstructed by the traditional culture of the Service.

At the time of his appointment as regional head of Anglia, Dick Shepherd found himself in a region which, while still productive, was working with a "command and control" style of management in need of change to reflect a new environment in which year-on-year demands to deliver more for less were being made by the Department. Furthermore, the traditional management style did not sit well with the changing managerial philosophy being articulated by the Board of HMCE. Shepherd concluded a new cultural infrastructure was required, one comprising characteristics such as flexibility, risk taking, enterprise, and innovation and change that would enable Anglia to cope efficiently and effectively with the various change programs likely to be imposed from above and those he would also be initiating. Furthermore, he believed strongly in the concept of empowering people and teams by giving them all the facts and encouraging them to develop their own solutions. However, this required team managers to provide the right leadership and to create the right environment when acting both as team heads and team members. Having set out his expectations clearly, and having encouraged a more open style of management, he found that the changes were very slow to happen due to "cultural lag," a term Bate (1996) uses to describe the condition when culture is no longer relevant to the needs of the organization.

To make further progress, Dick Shepherd realized he needed to understand better the culture of Anglia to know more accurately how best to change it. Cultural diagnosis came to be seen by him to be a necessary ingredient in the process of initiating and bringing about the organizational and cultural changes he considered essential for the long-term health of his region. Hence, he appointed an organizational behaviorist, Margaret Reidy, as a research officer/OD consultant to carry out, in the first instance, internal management research. This included a major ethnographic longitudinal case study on cultural change designed to help inform, shape, and measure the changes he wanted to bring about. In the main, the change programs he initiated were successful in terms of the desired changes in organizational structure, systems, and procedures. However, the desired changes in management culture were only partially achieved. Whereas some managers exhibited behaviors indicative of enlightened management values consistent with the requirements of the changing organization, a large proportion continued to exhibit the characteristic behaviors of a traditional "rigid" bureaucracy.

At the beginning of 1995, Dick Shepherd decided he needed to further develop and strengthen the cultural infrastructure of Anglia, particularly the management culture, in order to make it more relevant. He considered this a vital development. Although he was generally aware of the effective and ineffective managerial behaviors exhibited by his managers, he felt he had insufficient specific knowledge to be certain about those that were strategic to success or failure and which, therefore, needed either to be encouraged and promoted or discouraged and eliminated.

He required some means of determining with greater insight and clarity of understanding those particular managerial behaviors that were most effective (and conversely least effective or ineffective) for managing successfully within what had become an organizational environment of constant change and uncertainty. In OD terms he wanted to hold up a mirror to his managers and help them decide how to make meaningful change.

Consequently, he commissioned Margaret Reidy, in collaboration with Bob Hamlin from the University of Wolverhampton, to carry out an in-depth, empirical research study into the criteria of managerial and leadership effectiveness.

Managerial and Leadership Effectiveness Research

The research program comprised two phases. Phase A focused on the complete management task of Higher Executive Officers (HEOs) and Executive Officers (EOs) who had significant managerial responsibilities within their respective roles. Phase B, which was based on the research findings from Phase A, focused on the leadership aspects of management only.

Phase A: Criteria of Managerial Effectiveness Research

This research program comprised three stages.

Stage 1. In this job analysis phase, statements of behavior and behavioral dimensions that characterized effective and ineffective management were generated using the well-established Critical Incident Technique (CIT) (Flanagan, 1951) but applied as, for example, by Latham, Wexley, and Rand (1975), and Hamlin (1988). Essentially it involved a series of interviews with team leaders, their line managers, and subordinates to determine what they considered as being effective or ineffective management. Over 130 people operating in HEO or EO grade roles were interviewed from 15 out of 21 offices geographically spread throughout the Anglia Region Each person interviewed was asked to describe five incidents of effective and five incidents of ineffective managerial behavior which they had personally observed within the preceding six-month period. When interviewed, managers and team leaders were not allowed to volunteer critical incidents based on their own managerial practice, but only those they had observed in others. In total over 1,200 critical incidents (CIs) were collected. This number was considered more than sufficient to prevent what Brogden and Taylor (1950) had called deficiency error, namely failure to include an important dimension in the "ideal" or "true" set of criteria that determines managerial success or failure in the job under study.

Stage 2. This phase concerned the creation and administration of a Behavioral Item Questionnaire (BIQ) based on the Stage I findings and comprised, in the first instance, a detailed sorting of the CIs which revealed a high degree of overlap, duplication, and similarity of meaning. Those CIs that were ambiguous or complex (in that the CI comprised a sequence of interrelated behavioral activities with no indication as to the key behavior) were discarded. Only those CIs that were found to be the same as or similar to at least two others gathered from different divisions or offices of the organization were used. Hence each behavioral item was based on a cluster of critical incidents comprising a minimum of three "virtually the same" CIs, with one being selected as a representative "verbatim" statement of that particular critical behavior. So as to protect the anonymity of the contributing managers and staff, certain clusters of CIs were structured into composite statements. Throughout the translation process care was taken to avoid researcher contamination creeping in through, for example, the loss of vital meaning embodied within the original CI, or inclusion of a change of emphasis. In the main, the words or phraseology of the observer/participant were retained. The process ultimately led to the creation of a BIQ rating instrument comprised of 83 discrete behavioral items to which a Likert type scale was attached. (See Appendix for details of these behavioral items.) The instrument was widely seen within the Anglia Region and elsewhere within the Department of HMCE. Its content was well received as articulating accurately the realities of management practice within HMCE, both the effective and ineffective.

Prior to the BIQ being administered, five members of the senior management team piloted and assessed the instrument. Based on their feedback, no changes or refinements were deemed necessary

Stage 3. The final phase involved establishing job dimensions and identifying criteria of managerial effectiveness through a process of reducing, classifying, and grouping the effective and ineffective behavioral items into behavioral categories. To avoid the possibility of subjective judgements of the researchers/job analysts creeping into and contaminating the research findings, it was decided to use a statistical method for exploring the relationships between the 83 behavioral items and for making sense of the large number of correlations between these variables.

Factor analysis was the chosen method, which is similar to regression analysis but differs in that the variables all have equal status; no single variable is designated as the dependent or criterion variable. Factor analysis usually starts with a matrix of correlations containing up to a hundred or so variables that are difficult to interpret. However, the statistical processing aids in the interpretation by pointing out clusters of variables that are highly intercorrelated. The factors referred to are hypothetical constructs developed to account for the intercorrelations between the variables. Hence factor analysis seeks to replace a large and unwieldly set of variables with a small and easily understood number of factors (see Comrey, 1973; Robson, 1993).

The particular SPSS Factor Analysis method considered most appropriate for "clustering" the 83 behavioral items was alpha factoring with varimax rotation. The 43 effective behavioral items comprising the BIQ were factor analyzed separately from the 40 ineffective items. This yielded statistically sound correlations resulting in extracted factors, the underlying meanings of which could be readily interpreted and categorized with descriptive labels. The resultant behavioral categories were found to be consistent with the findings of the ethnographic longitudinal research program on cultural change that had been running in parallel. These provided the basis for identifying the criteria of managerial effectiveness applying in Anglia. The positive and negative criteria of managerial effectiveness so identified were as follows:

Positive Criteria of Managerial Effectiveness

1. Empowerment/effective delegation and communicating widely
2. Active supportive leadership
3. Proactive management
4. Proactive team leadership
5. Active development of others (training, coaching, and mentoring)
6. Managing change

Negative Criteria of Managerial Effectiveness

1. Tolerating poor performance/ low standards
2. Uncaring, self-serving management focus
3. Autocratic/dictatorial management (lack of concern/ consideration for staff)
4. Exhibiting gradist behavior
5. Narrow/parochial behavior
6. Resistance to change
7. Lack of emotional control
8. Manipulative behavior
9. Irrational management
10. Entrenched management thinking

From these research findings it was concluded that the core managerial competencies required to be an effective manager within Anglia were those determined by the behavioral underpinning of the six positive criteria listed above.

For example, the managerial competence entitled "active supportive leadership" comprised behaviors consistent with the notion of *"a leader actively providing help and support to individuals"* as indicated below:

Active supportive leadership

- Brings to the attention of own line manager the successes of own team members and seeks due recognition for them
- Gives recognition, appreciation, or praise when due to team members
- Stands up and/or fights for or defends the interests of subordinates
- Identifies training/developmental needs of team members and puts forward requests/business cases for suitable courses
- Actively seeks to ensure staff have the necessary resources for the job, including, for example, operational equipment, adequate staffing, technical support, and any data or sets of guidelines required
- Accompanies team members faced with potential operational difficulties, physical danger, or other stressful situations
- Helps team members who have been ill or are overwhelmed with domestic crises
- Involves team members in team events in order to determine the aims, objectives, and action plans of the team
- Shows an interest in and listens to the concerns and anxieties of staff and takes positive action to address the problem
- Gives people time to acclimatize and adjust to changes in organizational structure and/or systems rather than confronting them with an imposed "big bang" approach to change

- Makes him/herself available to give back-up support to team members
- Initiates, promotes, and supports personal development of staff
- Actively encourages and supports developmental and organizational initiatives taken by staff

Phase B: Criteria of Leadership Effectiveness Research

A leadership effectiveness BIQ was compiled comprised of twenty effective behavioral items selected from the managerial effectiveness BIQ. The statements were assessed for fit against other behavioral concepts of leadership behavior used widely in the UK, such as the Management Charter Initiative (MCI) (Woodall & Winstanley, 1998, pp. 76-79), the Investors in People (IIP) model (Hamlin, 1999, p. 44; Woodall & Winstanley, 1998, pp. 34-36), and the European Foundation Quality Management (EFQM) (EFQM, 1999). The BIQ was developed and administered in two versions, one for managers and team leaders to "peer rate" colleagues, and the other for team leaders to "self-rate." Factor analysis was again used to reduce, classify, and group the items into behavioral categories from which to identify positive criteria of leadership effectiveness and the leadership competencies.

Criteria of Leadership Effectiveness/Leadership Competencies	
Peer-rating data	
I	Empowering people; providing help and creating a supportive climate
II	Developing self; developing others and enabling involvement and participation of others in decision making
III	Promoting open and honest communication and a corporate approach
Self-rating data	
I	Empowering people and encouraging self-reliance in problem solving and decision making
II	Adopting a corporate approach and involving people in corporate issues
III	Building and developing effective teams; effective teamwork
IV	Providing sound, expert advice, and professional support to people

For the purpose of illustration, the behavioral items comprising Criterion I (Peer-rating) are listed below.

Criterion I — Empowering people; providing help and creating a supportive climate

(i) Encouraging people to learn from their mistakes
(ii) Helping/empowering/allowing people to work through their own problems
(iii) Helping/supporting people dealing with complex work
(iv) Helping others to handle/resolve problems in a corporate manner
(v) Unobtrusive management – empowering people to get on with the job
(vi) Providing back-up support in diverse and problematic situations
(vii) Supporting people through giving due recognition/credit
(viii) Being supportive in difficult times

Using the Research Findings

Research-Based Organization Development Initiatives

Part way through the CIT stage of the Phase A research program, Dick Shepherd and Margaret Reidy decided opportunistically to take advantage of the preliminary research findings. They wished to create a research-based OD instrument which could be used at Shepherd's annual management conference. Its purpose was to get his managers to discuss and confront various persistent managerial behaviors that were associated with the traditional "command and control" style of management, and which were now inappropriate for managing effectively in the new emergent "flexible" bureaucracy. It was anticipated that OD instruments created from research to which most managers had contributed would prove more powerful than adapted "off-the-shelf" OD instruments typically used by many external consultants.

Over 800 CIs were subjectively classified and clustered into eight categories of managerial behavior, each comprising examples of effective and ineffective management. The descriptive labels subjectively determined for each category were as follows: consultation, communication, open management style, gradism, cooperation, team building, confronting team members on difficult issues, and looking after the interests of team members.

The OD instrument so constructed was used in syndicate workshops involving sixteen groups of managers. Each group was given one category to consider in depth and tasked to identify ways of increasing the effective and eliminating the ineffective managerial behaviors.

All syndicate groups produced a wide range of ideas for change and improvement which were presented to the conference in plenary session. This approach elicited questions and resulted in intense debate on the floor. People felt secure because the CIs had been neutralized in the form of composite statements, and their identities had been rigorously protected during the CIT phase of the research; they also knew that to be included in the instrument every statement had to have had as a foundation at least three CIs. Therefore anonymity assured the managers that no statement could be attributed to any one person. This encouraged and enabled managers to speak out freely and to admit openly the problems of managerial and leadership effectiveness that did exist.

Whereas previous initiatives to bring about changes in the management style had had only limited success, on this occasion the research-based OD interventions resulted in very positive and constructive reactions. Furthermore, as a direct outcome managers were inspired to initiate a diverse range of MD/OD interventions based on the research (See Hamlin and Reidy, 1997).

Research-Based Management Development Initiatives

The managerial/leadership effectiveness research findings have also been used to develop a number of "self-analysis framework tools" to help bring about further change in the management culture of the organization, and to support people through the change process. So fa, five have been or are in the process of being created; these focus upon the behavioral competencies of active supportive leadership, empowerment, training and development, mentoring, and coaching. By employing the concept of self-analysis, managers and team leaders within Anglia are being invited to gauge their own managerial/leadership styles against the behaviors comprising the framework tools. At the time of writing, the "leadership" tool was being used as a supplementary document within the existing 360 degree performance appraisal system, and had enabled managers to obtain feedback from their peers and/or team members without the risk of compromising their positions within the organization. A further development has been the use of these "self-analysis framework tools" as diagnostic and developmental instruments for a series of OD/MD workshops designed to address various problem issues revealed by the managerial effectiveness research. So far these workshops have focused on such issues as consultation and communication, gradism, cooperation within and across teams, corporate awareness, and parochialism.

All of these initiatives have been highly successful in engaging the active interest and commitment of Anglia people to organizational change, particularly to the changes in management style and culture that Dick Shepherd considers essential for the future. Managers have gone much further in their thinking than has been the case with previous organizational change initiatives. Particular behaviors have been recognized, accepted, and admitted to openly for the first time as real examples of effective and ineffective management within Anglia. This has given managers the confidence to acknowledge their own ineffective behaviors, to commit themselves to action in public, to look forward rather than backward, and to approach the required organizational change in a more positive manner.

Conclusions

As was the case in Anglia, people often do not respond well to OD interventions based on survey feedback methods using generic instrumentation that is not specifically based on their own organization, or to external research that is not sufficiently relevant.

As was the case in Anglia, people often do not respond well to OD interventions based on survey feedback methods using generic instrumentation that is not specifically based on their own organization, or to external research that is not sufficiently relevant. In contrast, the internal research reported in this article was well received by Anglia personnel, who demonstrated a strong willingness to move forward with cultural change through MD/OD initiatives based on the findings. As Quirke (1995) observes, "the use of research as an instrument on the corporate dashboard" provides "continual feedback that allows greater responsiveness ," and helps "to speed up the changing of behavior within organizations" (p. 214).

From our experience in Anglia we can fully endorse Quirke's observation. The use of research-based MD/OD for the purpose of bringing about organizational change has been particularly powerful. However, the perceived benefits and value have centered around the academic rigor and credentials of the internal research effort, the strict codes of anonymity and confidentiality that were applied, the sense of ownership of the data, and the relevancy of the research. The case study reported here has demonstrated the importance and value of rigorous internal research as a tool for getting results that meet or exceed the performance outcomes that organizations require from MD/OD practitioners. As Swanson (1997) has observed, "HRD devoid of operating principles and theories to guide the HRD effort, or of research and its use, has led to poor practice in the profession that has undermined for long periods of time the whole credibility of HRD" (p. 4). Our experience also leads us to support strongly Jacobs (1997), who contends that "the

HRD field depends on research being considered an essential counterpart to practice, not an optional activity when convenient or an extravagance when financially possible" (p. 47).

With regard to the HRD collaboration reported in this article, it has from the outset been viewed by all of the active participants as a professional partnership. However, it should be noted that a key factor in the success of this particular partnership was the visionary leadership of Dick Shepherd who commissioned the research in the first place, and who subsequently promoted its use within the organization.

Finally, we believe we have provided here a good example of an HRD collaboration which has resulted in a management development effort that has been particularly effective and successful. As Dick Shepherd explained, the research that underpinned the organization and management development interventions was of enormous value in bringing about the culture change, and gave him the confidence and courage to proceed with the change program. Furthermore, the case study demonstrates the value of HRD professional partnerships of the kind advocated by Jacobs and illustrates how rigorous internal research can profoundly influence and enhance the impact of HRD and MD practice within organizations.

Acknowledgement

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APPENDIX

Outline for a Behavioral Item Questionnaire (BIQ) containing Critical Incident (CI) Statements based on Research Interviews in HM Customs and Excise: Anglia Region — 1995 to 1996

Behavioral Items

1. Actively seeks to ensure staff have the necessary resources for the job, including, for example, operational equipment, adequate staffing, technical support, and any data or sets of guidelines required.

2. Undertakes the necessary groundwork and/or research in order to be well prepared for given situations (e.g., *familiarizes self with new procedures for the benefit of team members; conducts in-depth research on topics before giving sound advice; carries out detailed investigation when conducting efficiency reviews).*

3. Confronts and/or speaks out to team members on difficult/sensitive issues.

4. Publicly reprimands, criticizes, or confronts in an antagonistic manner staff, colleagues, or senior managers.

5. Actively encourages and supports developmental and organizational initiatives taken by staff (e.g., 'Springboard', 'Personal Development Plans', 'NVQs' and special 'Away Days') *through the provision of additional funding; the loan of people/specialists; giving generously of her/his time, and so on.*

6. Includes team members in meetings and/or projects which normally would have involved higher grades.

7. Helps team members who have been ill or are overwhelmed with domestic crises (e.g., *counselling them, providing practical support and/or providing less demanding work temporarily; enabling them to acclimatize on return to work; helping people through a difficult patch).*

8. Excuses him/herself from blame and/or blames others when things go wrong (e.g., *blaming others for things they did not do and persisting in this; checking up on people when they deny any knowledge of an issue and thereby calling their credibility into question; passing the blame for organizational 'cock-ups').*

9. Consults widely with people in situations, particularly those involving change when people may be sensitive or fearful.

10. Asks for the advice and opinions of people but then appears to ignore these and proceeds to implement his/her own predetermined decisions.

11. Manages in a dictatorial and autocratic manner (e.g., *suddenly announcing decisions made behind people's backs without their knowledge; moving team members between teams or teams between units, without consulting either the individuals or the line managers involved).*

12. Gives feedback and constructive criticism to his/her people.

13. Shows lack of interest in or concern for the interests of staff (e.g., *being insensitive to individual's needs, such as keeping temporary employees in a state of anxiety about the renewal of contracts; denying staff the necessary resources that their colleagues in other units have; ignoring people's problems in the hope that they will go away; being dismissive of survey results relating to own unit and so on, leaving staff feeling undervalued and ignored).*

14. Communicates ineffectively with people (e.g., *speaks rarely to people within the same office; gives ill defined, foggy presentations; gives off negative body language inconsistent with the verbal message).*

15. Personally takes the time and trouble to train, coach or mentor team members (e.g., *sitting with and advising individuals on their first day at busy enquiries desks; helping people overcome difficulties such as mental blocks with work; coaching people as they prepare for promotional interviews).*

16. Resists change and new working procedures even to the point of sabotage (e.g., *neither caring about nor making an effort to understand the concept of team-working; too ready to dismiss research/ideas; overt reluctance to accept change; insisting on maintaining hierarchy in her/his team despite delayering, being antagonistic towards senior managers).*

17. Gives recognition, appreciation or praise when due to team members (e.g., *formally writing to the individuals/team giving them credit; showing appreciation by supporting sports events).*

18. Abdicates responsibilities (e.g., *leaving own managerial work unattended while going to low priority meetings, showing disinterest in the responsibilities of his/her post while trying to obtain a transfer to another division; refusing to select and put forward staff for special*

projects, thereby denying them valuable opportunities for personal development).

19. Develops and fosters good working relationships with the public and also with outside organizations/bodies in the wider community (e.g., *builds closer links with the Police, Inland Revenue, European Customs; lengthens opening hours to facilitate the public).*

20. Displays irrational, abusive or volatile behavior towards team members (e.g., *completely losing one's temper with a team member/blowing one's stack out of proportion to the incident; displaying conflicting emotions/behavior towards staff by being aggressive and abusive or conversely nice and apologetic).*

21. Involves team members in team events in order to determine the aims, objectives and action plans of the team (e.g., *annual away-day planning events).*

22. Shows favoritism when allocating resources such as office accommodation, furniture, IT equipment and so on.

23. Holds frequent meetings with team which are well organized and well run (e.g., *prepares clear and focused agendas; effectively chairs meetings which are recorded; ensures there are no interruptions).*

24. Makes herself/himself absent at critical times when s/he should be around to give help, support, and advice to team members or colleague managers.

25. On major change initiatives, such as the Fundamental Expenditure Review, conducts special events to communicate with staff (e.g., *running 'Roadshows' and/or forums for disseminating information; answering people's questions and addressing their concerns; keeping people them fully informed and updated about the potential changes).*

26. Creates political pacts or coalitions with one or two other managers.

27. Enables, helps, and supports his/her team and/or team members to work *through* their problems and arrive at sound solutions.

28. Moves own poor performers or problematic team members to other teams thereby leaving the recipient managers to resolve the problems associated with the people.

29. Places team members who are known to be negative towards change in roles which help them overcome their initial resistance to change.

30. Autocratically and without prior warning presents to staff significant changes (e.g., *introducing new local organizational structures which would have a major impact upon working relationships in the office; imposes such structural changes in the face of known opposition).*

31. When approached, gives help and support to people outside his/her own Unit or Division (e.g., *advising team members from other teams who may find it difficult to talk to their own line-manager; stepping in to cover when another manager is off ill or away, giving a talk at a meeting when the original guest speaker has to cancel).*

32. Procrastinates over important issues which leads to adverse consequences (e.g., *allowing backlogs to build up; failing to give reminders on impending deadlines; drags heels in finding replacement staff.*

33. Makes him/herself available to give back-up support to team members (e.g., *on those occasions when they have to work in particularly confrontational situations such as difficult arrests; dealing with interviewees with known violent tendencies.*

34. Omits to give or pass on information or to keep staff informed and updated on what is going on in the organization.

35. Actively seeks, fosters and/or gives team members opportunities to develop themselves either in post or by attending courses (e.g., *pushing people forward for developmental opportunities when they have the competencies but are initially reluctant; encouraging PDPs to gain work experience when staff are interested in the possibility of transference to other areas; encouraging people to run with high level projects).*

36. Exhibits Gradist behavior (e.g., *communicating with own grade only at meetings and ignoring lower grades; insisting on authorized signatories; issuing formal memos to subordinates even in own office; shutting people out at meetings because of their grades, and so on).*

37. Gives technical advice to, instills confidence in, and acts as a sounding board for staff who find themselves having to deal with complex work for which they need help and support.

38. Behaves towards team members in a domineering, dictatorial, overbearing, or sexist manner and/or makes unreasonable and unfair demands of them.

39. Promotes and fosters good communications with people (e.g., *through team briefing sessions; the relaying of information from divisional and other meetings; helping in the assimilation of dry or complex information by, for instance, injecting a sense of humour into presentations).*

40. Delays or does not take managerial action to resolve problems with persistent under-performing individuals or to deal with *Discipline and* [or] *Inefficiency Cases.*

41. Gives people time to acclimatize and adjust to changes in organizational structure and/or systems rather than confronting them with an imposed *big bang* approach to change.

42. Turns a blind eye to or fails to resolve problems (e.g., *failing to ensure work areas are covered allowing everyone to leave for breaks at the same time; leaving difficult casefiles for others who are more technically competent to pick up; not finding out the true extent of problems in own district and having to be told about them by senior managers instead).*

43. Empowers people (e.g., *encourages staff to take on responsibilities normally associated with higher grade; fosters a higher involvement across grades in decision-making; allows people to set up and run with projects).*

44. Shows an interest in and listens to the concerns and anxieties of staff and takes positive action to address the problem (e.g., *holds frequent meetings where people have a platform to air their grievances; gives staff a fair hearing, shows interest in and actively listens to what people have to say).*

45. Manifests manipulative or politicking behavior, saying or doing one thing and then changing behind people's backs (e.g., *approaching diverse people to take on a project as if each one is the only candidate; disallowing an appeal when the recipient may feel the comments in her/his report are unfair; influencing decisions which are outside of his/her remit).*

46. Co-operates with colleague managers by releasing staff, with their consent, to give technical assistance to other teams, or to discuss discuss/resolve problems for mutual benefit (e.g., *volunteers valued members of staff in a non-parochial way to help other teams or units with problems).*

47. Within the promotional system exhibits favoritism (e.g., *shows partiality to drinking buddies and/or close friends when temporary promotional opportunities arise; shows favoritism towards certain junior team members to the detriment their peers; pushes people forward for posts despite knowing they lack the requisite competencies).*
48. Manages people unobtrusively allowing them to get on with the job without constant supervision.

49. Allows team to run with insufficient or inadequate resources (e.g., *fails to understand the problems which may arise out of new situations; neglects to arrange cover for managers on long-term sick leave; does not give same level of resources that other teams receive; does not acquire extra accommodation despite office overcrowding).*

50. Steps in to prevent subordinate managers from making or enforcing potentially bad decisions (e.g., *as Countersigning Officer arranges for an individual to transfer to another team to ensure that he/she will receive fairer treatment; prevents people with vested interests from empire building or influencing the outcome of reviews).*

51. Brings to the attention of own line manager the successes of own team members and seeks due recognition for them.

52. Identifies training/developmental needs of team members and puts forward requests/business cases for suitable courses.

53. Exhibits poor judgement (e.g., *fixes judgement on people based on a single incident in the past; displays entrenched attitudes; betrays the confidentiality of information given by others; hides behind the authority of superiors;when correcting the ineffective behavior of one member of her/his team, imposes the solution on all).*

54. Initiates, promotes, supports, personal development of staff (e.g., *encouraging people to take on NVQs to increase their competencies; actively supports personal development of new team members who have been denied developmental opportunities in previous posts; helping people choose roles which they would be most effective in).*

55. Ineffectively conducts performance appraisals (e.g., *fails to moderate box markings; makes unfair comments in the report without hard evidence; gives appraisees no chance to prepare but instead ambushes them with any shortcomings).*

56. Encourages prompt involvement and early consultation with the Trade Union Side and maintains good and amicable working relations with TUS representatives.

57. Refuses to implement new and more speedy systems of communications.

58. Actively monitors individual and team performance (e.g., *sets up contingency planning systems to provide feedback if anything goes wrong; persuades people to retrograde when it is apparent that they are not coping with the work they have been promoted into; ensuring that comprehensive notes are kept on poor performers and that case files are continuously updated and monitored).*

59. Fails to organize self or others (e.g., *being disorganized: does not prioritize or plan properly for events; allows paperwork to build up; when setting up new projects fails to produce an agreed list of roles and responsibilities with team members; habitually breaks appointments).*

60. Proactively sets out to build the team (e.g., *ensures that the right people are in the right roles; tries to get to know people on a one-to-one basis; inculcates a team working philosophy; organizes team building events).*

61. Condones ineffective behavior and poor performance from team members (e.g., *awards inappropriately high performance box markings to poor performers; allows individuals to ignore certain aspects of the work which they don't like doing; exhibits inability to control unruly members of staff; fails to deal with persistent poor performance caused by, for example, heavy drinking or other personal problems).*

62. Involves team members in the processes of decision making and problem solving and actively seeks their ideas and suggestions (e.g., *resolves change initiative difficulties with staff; allows open and fierce debate on emotive issues; instigates reviews and encourages people to put in recommendations for best practices).*

63. Withholds information and data from people at different levels in the hierarchy and/or from peers for political motives.

64. When the managers or team members make mistakes, rather than reprimanding them (e.g., *bawling them out, pillorying, or berating them), instead helps them to learn from their mistakes.*

65. Actively promotes the "Collection Corporate Approach" (e.g., *promotes the Team/Collection approach to all the staff, encourages professional standards of dress, ensures that outlying and recently amalgamated offices receive equity of treatment with rest of Collection.*

66. Takes all the credit for success achieved by own team members (e.g., *having participated only in the initial organizing of the work,*

taking credit for all successive achievements; failing to nominate people for special bonus awards or to give rewards; taking credit for the team's work having denied them support).

67. Innovates change or takes the initiatives to effect improvement for the benefit of staff and organization (e.g., *setting up enquiries desks; implementing appeal system procedures; finding and securing work for own team/division/organization for surplus staff; creating new posts to cover identified specialist areas such as communications or resettlement).*

68. Adopts a narrow/selfish parochial attitude (e.g., *ensures own new team exclusively has all of the most effective and experienced people to the detriment of other teams; when expressing complimentary views on the progress made by his/her own team, passes derogatory remarks about other teams).*

69. Takes initiative to solve problems and or make more effective use of systems (e.g., *researching ideas from people for their feasibility and running with them when viable; sharing own technical knowledge by participating in specialist internal and external projects; setting up statistical/monitoring systems to support staff with data on work outputs).*

70. Refuses to nominate people for special bonus awards or to give rewards (e.g., *refusing overtime to people who have put in long hours on projects even at weekends; allowing to go unrecognized the tremendous efforts that staff have put in developing specialist skills leading to more being done in the organization).*

71. Ensures people such as superiors, peers, and subordinates receive essential information immediately it is available.

72. Delegates to staff own managerial responsibilities overloading them to the point of personal abdication and subsequently blaming them when things go wrong.

73. Stands up or/and fights for or defends the interests of subordinates (e.g., *trying to influence the retention of temporary team members after they have received a heavy investment in training; supporting people when their competencies have been unfairly called into question; promotes as Team leader the work of the unit in order to gain recognition for his/her staff).*

74. Attracts people into posts by being evasive with the full facts about the work or terms and conditions.

75. Gives team members/appraisees less than two performance appraisals within the quarterly system (e.g., *denying people the right to more than one appraisal using heavy workloads as an excuse).*

76. Accompanies team members faced with potential operational difficulties, physical danger or other stressful situations (e.g., *taking part in exercises on coastal rigs; fully supporting teams on coastal watch; backing managers at meetings which are set up to sort out problems which are sensitive and long standing).*

77. Blocks, refuses, or denies the giving of assistance to team members who are seeking personal development mainly to keep them working within the team base (e.g., *telling staff to get lost and/or asking them why they were bothering to request access to developmental courses).*

78. Proactively disseminates within the team/unit major documents of cultural importance such as the Anglia Expectations (The Anglia Expectations document acknowledges the values which people brought to the organization, encouraging them to maintain and perpetuate these values in the midst of continuous change. It also outlines the expectations people have from management and the organization, and the expectations which management and the organization have in return.) and/or Framework documents (e.g., *holds meetings to elicit feedback and subdivides teams into different groups to discuss contents under diverse headings and feeding back the responses to senior management).*

79. Consults with staff insufficiently and/or inadequately (e.g., *going ahead with a decision without corporate consensus or consultation on issues which widely impact on people; failing to circulate vital information when under instructions to do so; running information surgeries without having enough details to answer people's questions effectively).*

80. Fails to give recognition or acknowledgement for the good work of others (e.g., *failing to give recognition to individuals causing them to seek fairer treatment in other teams/units; acknowledging the work done only by one team when it was achieved in a joint effort with another team).*

81. Takes action to prevent or prejudice the chances of employees from being successful when applying for vacant posts.

82. Gives full responsibility to subordinate managers empowering them to run unit, specialist project, and/or team budgets.

83. Adopts an uncooperative attitude towards others (e.g., *refuses to work with peers/teams or colleagues from HQ; empire builds at the expense of other units).*

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SECTION 1: SELECTED PORTFOLIO OF PEER REVIEWED PUBLICATIONS

Sub-Section 1.4

NHS Trust
Research Publications

Hamlin (2002a)
Hamlin (2002b)
Hamlin (2002c)

Towards evidence-based management and research-informed HRD practice: an empirical study

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Abstract: This paper describes a program of empirical HRD research conducted as part of an 'HRD Professional Partnership' set within an NHS Trust Hospital in the UK. The research was concerned with identifying the criteria of managerial effectiveness applying at the middle and front line levels of management within the particular case study setting using Critical Incident Technique and Factor Analysis methods. The results were compared against those from an equivalent study carried out within HM Customs & Excise, a major department of the British Civil Service. The findings lend support to the existence of the 'universally effective manager', and provide an empirical base suitable for supporting developments towards evidence- based management and research-informed HRD practice.

Keywords: Criteria of managerial effectiveness; leadership effectiveness; universally effective manager; management behavioural competencies; evidence-based management; research-informed HRD; professional partnership research.

Reference to this paper should be made as follows: Hamlin, R.G. (2002) 'Towards evidence-based management and research-informed HRD practice: an empirical study', *Int. J. Human Resources Development and Management*, Vol. 2, Nos. 1/2, pp.160-169.

Biographical notes: Bob Hamlin is currently Head of the Department of Human Resources within the University of Wolverhampton Business School and also Course Director of its MSc in Human Resource Development program. He is research active in the fields of managerial and leadership effectiveness, management behavioural competencies, and management culture change within private and public sector organisations. The results of his research have been published widely. Additionally Bob is active as a management training consultant working mainly with local companies but also internationally.

1 The research context

Over the past ten years or so evidence-based practice has become well established within medicine and healthcare both in Europe and North America [1-5]. Recently there have been calls in the European management literature for evidence-based healthcare management [6–8] and also for evidence-based and research-informed approaches within the field of Management Development and HRD [9,10]. Additionally various writers have argued for more research to be done in support of organisational change and development programs [11–14]. Similarly there have been calls in the American management literature encouraging HRD practitioners to use HRD research for the purpose of enhancing HRD practice [15–17]. Furthermore Jacobs [18] advocates the development of HRD Professional Partnerships for generating HRD research, examples of which have been reported by Holton *et al.* [19] in the USA and in the UK by Hamlin, Reidy and Stewart [13] and Hamlin, Reidy and Priddey [20]. Despite the various calls for research to enhance the work of HRD practitioners, it still remains the case that the field of HRD in general and management development in particular lacks a sound and sufficient empirical base [21–27].

In contrast, many empirical research studies have been undertaken in the field of management. However most have been case studies of organisations, projects or change processes with most researchers pointing out that very few of their results can be generalised from one organisation to another [8]. Although the empirical case study presented in this paper was aimed at understanding one aspect of organisational life within the setting of a particular National Health Service (NHS) hospital in the UK, namely the criteria of managerial effectiveness applying within the case study organisation, it was designed and carried out with the intent of drawing out practical and generalisable conclusions on the basis of the research results.

Much research work has been done over the past thirty years or so on managerial behaviours related to managerial and leadership effectiveness. However, most has been criticised for having focused on the frequency of observed behaviours rather than on the quality of specific behaviours [28–31]. Shipper *et al.* [32] also draw attention to the fact that little of the management research done so far has examined leaders (and managers) in health care settings.

In contrast the present study focuses primarily on identifying those specific managerial behaviours and competencies perceived as examples of effective and ineffective management. In parts it complements the studies of Flanagan [33] and Alimo-Metcalfe [34] who have also researched managerial/leadership effectiveness within the NHS. However, whereas the work of these researchers focused predominently upon top and senior managers, the study reported here was concerned mainly with middle, junior and first line managers.

Various writers claim that the way in which managers are perceived and evaluated by others is important for managerial success, and that subordinates, peers, superiors and self-perceptions often differ in their judgement of behaviours and their perceptions of what constitutes managerial effectiveness [28,35–40]. In light of these claims, and his own experience of researching managerial effectiveness, Shipper [41] specifically recommends that managerial effectiveness should be examined from the perspective of both superiors and subordinates. It so happens a multiple perspective was adopted for the present study which was conducted as part of an HRD Professional Partnership between the University of Wolverhampton and a local NHS Trust Hospital. The primary aim was to identify and develop an understanding of what constitutes managerial/leadership effectiveness at the middle, junior and first line levels of management within this particular hospital.

2 Research method

The research program comprised three stages, as follows:

Stage 1

In this first phase statements of specific behaviours characterising effective and ineffective management were generated using the well established Critical Incident Technique (CIT) originated by Flanagan [42] and applied, for example, by *Latham et al.* [43] in the USA and by Hamlin [44] and Hamlin and Reidy [45] in the UK. This stage involved interviewing 45 managers and 12 non-managers. Each person was asked to describe five incidents of 'effective' and five incidents of 'ineffective' managerial behaviour which they had personally observed within the preceding six months. Managers were not allowed to volunteer critical incidents (CIs) based on their own managerial practice, but only those they had observed in the management practice of other managers. In total 405 critical incidents were collected.

Stage 2

This phase concerned the creation and administration of a Behavioural Item Questionnaire (BIQ) based on the Stage 1 findings. In developing the BIQ the 405 CIs were examined for sameness or similarity of meaning, and thereby grouped to create a set of discrete 'positive' and 'negative' behavioural items. Each behavioural item comprised a minimum of three and up to a maximum of nine CIs, with one being selected in most cases as a representative 'verbatim' statement of that particular critical behaviour. In some instances composite behavioural items were constructed from certain clusters of CIs. The BIQ so created comprised 55 discrete behavioural items to which were attached a five-point Likert rating scale. Following a pilot exercise in administering the BIQ, the instrument was reduced to 52 items comprising an equal balance of 'positive' and 'negative' behavioural statements.

Stage 3

This final stage involved establishing job dimensions and identifying criteria of managerial effectiveness through a process of reducing, classifying, and grouping the effective and ineffective behavioural items into behavioural categories. To avoid the possibility of subjective judgements of the researchers creeping into and contaminating the research findings, it was decided to use a statistical method for exploring the relationships between the 52 behavioural items and making sense of the large number of correlations between these variables. The chosen method was SPSS factor analysis using 'alpha factoring with variamax rotation'.

The BIQ was administered to three sets of people within the NHS Trust Hospital as follows:

1 Managers, who were asked to use the BIQ to rate a number of managers reporting directly to them (Top down rating).

2 Managers who were asked to rate themselves against the BIQ (Self rating).

3 Managers and non-managers who were asked to rate their immediate line manager (Bottom up rating).

To date a total of 44 'bottom up' and 64 'self rated' BIQs have been obtained and subjected to factor analysis. The 26 effective and 26 ineffective behavioural items were factor analysed separately for both the 'bottom up' and 'self rated' data sets. This yielded statistically significant correlations resulting in a number of extracted factors termed 'behavioural competencies'. These competencies were explored for meaning and given descriptive labels developed from the raw data itself. The resultant factorial solutions derived from each set of datas are very similar and thereby mutually reinforce the reliability and validity of the results. What follows is a summary of the major findings obtained so far from this managerial effectiveness research.

3 Research results

3.1 Results from the 'Bottom Up' Rating of Managers

The results from the 'bottom up' questionnaire whereby individuals including both managers and non managers rated their own line managers are given in Table 1. Each of the factors are described below with an indication of the number of behavioural items (BIs) loaded on to them, and the range of the respective factor loadings (FLs). The factor loadings provide the extent to which the items reflect the nature of the construct. The percentage of variance provides the explanatory power of the factor.

Table 1 Factorial solution from the 'bottom up' ratings of managers

Positive behaviours		
Factor 1: Organisation, Planning & Support This factor is concerned with being well organised, efficient and effective; being good at planning; thinking ahead and developing long term plans; and also about supporting staff. The factor explains 69% of the variance (BIs: 6 FLs: 0.794–0.631)	*Factor 2: Open & Personal Management Style* This factor is about developing trust, listening, being open to staff and adopting a personal approach. The factor explains 4% of the variance (BIs: 6 FLs: 0.858–0.716)	
Negative behaviours		
Factor 1: Undermining and Dictatorial/Autocratic Behaviour This factor comprises two main strands, namely undermining behaviour and dictatorial/ autocratic managerial style which indicate a lack of concern or consideration for staff and/or colleagues. The factor explains 61% of the variance. (BIs: 9 FLs: 0.819–0.558)	*Factor 2: Avoidance Behaviour* This factor which is to do with avoidance behaviour has two strands. One concerns the ignoring of rules, policies, procedures and problems and the other concerns avoiding responsibilities and giving sufficient time to things. The factor explains 7% of the variance. (BIs: 6 FLs: 0.805—0.582)	*Factor 3: Failing to Inform Other People* This factor is primarily about failing to keep people informed, of being open and forthright in communications and obtaining necessary information. The factor explains 5% of the variance. (BIs: 4 FLs: 0.866—0.616)

Note According to Comrey [46] a factor loading >0.71 is Excellent; >0.63 is Very Good and > 0.55 is Good

Based on the perceptions of subordinates this research suggests there are five criteria (factors) of managerial effectiveness, two being associated with managerial success and three with managerial failure.

3.2 Results from the managers' self rating

This section describes the factors obtained by the factoring of the 'self rated' BIQ data as set out in Table 2. As in Table 1 an indication is given as to the number of behavioural items (BIs) loaded onto each factor and the range of the respective factor loadings (FLs)

Table 2 Factorial solution from the 'self' ratings of managers

Positive behaviours			
Factor 1: Active Supportive Leadership This factor is predominantly to do with being approachable, developing trust, handling difficult and personal issues with sensitivity and taking action to help and support staff. The factor explains 54% of the variance. (BIs: 7 FLs: 0.758–0.522)	*Factor 2: Inclusive Decision* Making This factor is concerned with involving staff in decision making, listening to their ideas, canvassing opinions and empowering them to make their own decisions. The factor explains 5% of the variance. (BIs: 5 FLs: 0.701--0.526)	*Factor 3: Organisation and Planning* This factor is primarily concerned with being well organised, efficient and effective and also being good at planning, thinking ahead and developing long term plans. The factor explains 4% of the variance. (BIs: 5 FLs: 0.792--0.511)	*Factor 4: Looking After The Interests And Needs Of Staff* This factor is about showing concern for individuals by giving them support for their personal or career development; by effective delegation, by taking a personal interest and by giving praise. It is also about monitoring the collective needs of staff and their department. This factor explains 3% of the variance. (BIs: 6 FLs: 0.709--0.533)
Negative behaviours			
Factor 1: Dictatorial/Autocratic Management and Negative Approach Overall this factor is concerned with a general lack of concern or consideration for other people. Behaviours reflecting bullying and a threatening manner were key to this factor which explains 54% of the variance. (BIs: 7 FLs: 0.848--0.617)	*Factor 2: Not Informing People and Exhibiting Poor Organisation* Essentially this factor is about failing to inform, notify and instruct people. However, items were also related to poor organisation and prioritisation. The factor explains 8% of the variance (BIs: 6 FLs: 0.693--0.436)	*Factor 3: Ignoring and Avoidance Behaviour* This factor is about avoidance behaviour such as ignoring policies, rules and procedures, bypassing systems and hiding from one's own mistakes. It explains 4% of the variance. (BIs: 5 FLs: 0.739--0.554)	*Factor 4: Self-Serving or Uncaring Management* This factor is essentially concerned with achieving ones own aims and interests through manipulation and politicking, and at the expense of other people. The factor explains 3% of the variance (BIs: 3 FLs: 0.772--0.513)

Based on the self perceptions of managers this research suggests there are eight criteria (factors) of managerial effectiveness, four being associated with managerial success and four with failure.

4 Discussion

4.1 NHS Trust Hospital research on managerial effectiveness

A comparison of the positive and negative factors extracted by the factoring of the 'bottom up' and 'self ' rated BIQ datas respectively reveals a high degree of coincidence and similarity between the identified criteria (factors) of managerial effectiveness. These results are somewhat at variance with the findings of other researchers who report that superiors often appreciate and value different behaviours to those of subordinates [37], that subordinates believe proactive managerial behaviour such as initiative less important than supervisors [35], and that subordinates, supervisors, peers and self perceptions often differ in their judgements [40]. In other words managerial effectiveness is mainly "perspective-specific". In contrast, the present study suggests there is a strong common judgement between what managers and subordinates respectively perceive as effective and ineffective managerial behaviour.

4.2 Comparison with the HM Customs & Excise research on managerial effectiveness

To determine whether or not the NHS Trust Hospital criteria of managerial effectiveness are 'organisational-specific' or 'universal' a comparison was made with criteria from a near identical empirical research study carried out within the Anglia Collection of HM Customs & Excise, a major department of the British Civil Service [13]. A detailed comparison of the 'self-rated' criteria, including the behavioural underpinning of each criterion, reveals a very high degree of coincidence as can be inferred from Table 3.

The only criteria not in both sets of data is 'Managing Change' which is one of the six positive criteria applying within the Anglia Collection of HMCE, and 'Not Informing People' which is one of the six negative criteria applying within the NHS Trust Hospital. This suggests most of the criteria of managerial effectiveness emerging from both of these studies are generalisable.

Table 3 Comparison of the NHS trust hospital and 'Anglia' criteria

NHS Trust Hospital Criteria	*HM Customs & Excise Criteria*
Positive	*Positive*
Active supportive leadership	Supportive/participative leadership
	Proactive team leadership
Inclusive decision making	Empowering/communicating widely
Organisation and planning	Proactive management
Looking after the interests/needs of staff	Active development of others
	Managing change

Table 3 Comparison of the NHS trust hospital and 'Anglia' criteria (continued)

NHS Trust Hospital Criteria	*HM Customs & Excise Criteria*
Negative	*Negative*
Dictatorial/autocratic management	Autocratic/dictatorial management
Negative approach	Being deliberatively obstructive
	Entrenched management thinking
Not informing people	
Exhibiting poor organisation	Irrational management *(Disorganised/political)*
Avoidance/ignoring behaviour	Ignoring
	Overriding needs of individuals and organisation
Self serving/uncaring management	Uncaring management
	Inconsiderate of other teams/Passing the buck
	Narrow parochial behaviour

5 Conclusions

Over the past two decades there has been considerable debate and controversy within the UK concerning the existence of the 'universally effective manager'. Some believe that 'a set of universally applicable management competence criteria independent of function and organisational context' can be derived [47] whilst others argue this approach is misconceived and 'a universal mechanism is inappropriate' [25,48–51]. Flanagan [33] and Flanagan and Spurgeon [52] assumed for their research into managerial effectiveness in the NHS that managerial effectiveness is a subjective concept contingent upon factors within each organisation, and that managerial competencies are organisation-specific. However, the high degree of similarity, coincidence and potential generalisability revealed by the present study challenges both the 'perspective-specific' and 'contingent' models of managerial effectiveness and point instead towards the existence of the 'universally effective manager'. The results also provide an empirical base suitable for supporting evidence-based approaches to management and research-informed HRD practice, not only within the particular NHS Trust Hospital setting, but most likely also within and beyond other healthcare settings.

6 Limitation of the study

One limitation of this study is that it was undertaken in a single NHS Trust Hospital. Therefore the criteria of managerial effectiveness identified here cannot yet be regarded as generalised to any population of healthcare managers beyond those in the study. However, the high degree of similarity and coincidence with the 'Anglia' research suggests most of the criteria are likely to be generalisable and 'universal'. A second limitation is that the study focused on the perceptions of subordinates and the self perceptions of managers only. Those of superiors and peers should also to be researched to obtain a fuller understanding of what constitutes managerial effectiveness from all perspectives. A further limitation regarding the generalisability of the research has been the general lack of equivalent empirical case studies in other organisations and other sectors against which to compare the findings.

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A study and comparative analysis of managerial and leadership effectiveness in the National Health Service: an empirical factor analytic study within an NHS Trust hospital

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The research described in this article was concerned primarily with identifying the criteria of managerial/leadership effectiveness applying at the middle and front line levels of management within an NHS Trust Hospital using critical incident technique and factor analysis methods. The findings suggest that the self-perceptions of managers and the perceptions of superiors and subordinates are very similar, and only differ on a limited number of criteria. This challenges the 'perspective-specific' models of managerial effectiveness advocated by some researchers. The results are compared against those from a near identical study carried out by the author within one part of the British Civil Service, and the results from a different but comparable factor analytic study carried out by other researchers elsewhere in the NHS. The results suggest the existence of generalized criteria of managerial effectiveness, which lend considerable support to the notion of the 'universally effective manager'. This challenges the 'contingent models' of managerial effectiveness advocated by various expert commentators. In addition, the research supports the New Model of Transformational Leadership offered by Alimo-Metcalfe and Alban-Metcalfe for application within both the NHS and local government, and adds to the empirical base supporting the current drive towards evidence-based practice in management within the healthcare sector.

Introduction

This article describes the findings of an organizationally based collaborative research project designed to identify the criteria of managerial effectiveness applying within an acute National Health Service (NHS) Trust Hospital in the UK. The main thrust of the project was to determine exactly which behaviours of management are consistent with success, and conversely with failure.

The study builds upon similar research conducted by Hamlin (1988) within UK Secondary Schools, and by Hamlin and Reidy

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(1997) within HM Customs and Excise that is a major Department of the British Civil Service.

The study complements those of Flanagan (1990) and Alimo-Metcalfe and Alban-Metcalfe (2000 and 2001) who have also researched managerial and leadership effectiveness respectively within NHS settings. However, whereas the work of these latter researchers focused predominantly upon general managers and members of top management teams, the study reported here is concerned mainly with middle, junior and first line managers. Although no explicit attention was given to examining 'leadership effectiveness', it was assumed throughout the study that leadership was an integral component of the managerial roles of the subjects studied. It was considered likely that most, if not all, managers within the case study NHS Trust hospital would, as part of their management task, function as 'close' or 'nearby' leaders as defined by Shamir (1995). Drawing on the work of writers such as Katzenbach and Smith (1993), Kouzes and Posner (1993), Knights and Willmot (1992) and Bryman (1997) the view was taken that leadership is a widely dispersed activity within organizations, that it resides not only at all levels of the management hierarchy but also amongst the non-manager members of teams; furthermore, that it should not necessarily be thought of as a preserve of top managers or of 'heroic' organizational leaders as is the case in many of the 'transformational', 'charismatic' and 'visionary' leadership versions of the 'New Leadership Approach'. Consequently, the research examined not only management-orientated behaviours associated with the effective and ineffective performance of the particular senior, middle and first line managers studied, but implicitly also the behaviours associated with the leadership aspects of their respective managerial roles.

The definitions of managerial and leadership effectiveness adopted for the study were those that were used by the author for his previous managerial effectiveness research in other organizations and other sectors (Hamlin, 1988; Hamlin and Reidy, 1997). These were derived from definitions first proposed by Bennett and Langford (1983) who had carried out an exhaustive review of the literature on managerial effectiveness. They concluded that the term 'effectiveness' — signifies the relationship between achievements assessed against goals and purposes, and 'managerial effectiveness' (*leadership*) — is the relationship between what a manager (*leader*) achieves (performance) and what he/she is expected to achieve (aims/purposes and objectives/goals) within the constraints imposed by the organization and socio-economic environment.

The above definition of managerial effectiveness accords closely within the 'meaning of managerial effectiveness' within public sector organizations as offered by Flanagan and Spurgeon (1996) who describe an effective manager as 'someone who creates, operationalises and sustains organizational operations that satisfy as far as possible the diverse values and interests of those affected by the operations'.

Based on his research into the measurement of managerial effectiveness Bennett (1983) draws attention to, and discusses the notion and existence of, the 'universally effective manager', which to a some extent has been supported by the findings of the previous research study of the author (Hamlin, 1988; Hamlin and Reidy, 1997). In the earlier study, seven out of 16 identified criteria of managerial effectiveness applying within Secondary schools were shown 'to have much in common with those characteristics (behaviours) that determine the effectiveness of managers in organizations outside the education sector', and hence were deemed to be 'universal'. In terms of their behavioural content the other nine criteria were considered to be, to a greater or lesser extent, 'education-specific'. In contrast all of the 'positive/effective' criteria of managerial effectiveness identified as applying within HM Customs and Excise appeared to be 'universal', although some of the 'negative/ineffective' criteria were clearly 'organization-specific' being linked to, and conditioned by, the traditional British Civil Service culture prevailing at that time.

Some writers have expressed strong misgivings about the concept of the 'universally effective manager', and of the notion that managerial skills, competencies and criteria of effectiveness can be transferred and applied with equal success across and between both private and public sector organizations (Burgoyne, 1990; Harrow and Willcocks, 1990; Meek, 1988; Moss *et al.*, 1987; Stewart, 1989; Willcocks, 1992).

Drawing on the work of these writers, Flanagan and Spurgeon (1996) draw attention to 'the widely held view that management effectiveness is contingent, (*being*) derived from what others expect or require managers to do'. They conclude that effectiveness 'should not be taken as some objective absolute which holds good for all managerial jobs in all organizations. Whilst there may be similarities, effectiveness can be defined only in situational terms'. Flanagan and Spurgeon also argue that 'a manager's effectiveness cannot be assessed or improved until it is clear as to what constitutes a particular view of effectiveness and what criteria are being used, explicitly or implicitly, to assess it', and suggest 'different organizational contexts and circumstances may dictate whether a particular manager is viewed as successful or not at any point in time. An effective manager in one organization may be judged as less effective in another.' Furthermore, 'individual managers are unlikely to have exactly the same view of what sort of behaviour constitutes effective managerial performance unless there has been some rigorous work undertaken to make explicit, to share and to understand the dimensions of effectiveness that are important or believed to be important in the organization. In the absence of this managers will operate on the basis of their own personal experience and beliefs about what constitutes effective managerial behaviour'. Hence Flanagan and Spurgeon strongly advocate that an organization needs to find out 'the criteria, (*job*) dimensions or characteristics its managers use that influence both their own behaviour and lead them to view others as effective or other-wise'. It is interesting to note that in trying to understand managerial (and leadership) effectiveness as seen and defined by others, Flanagan and Spurgeon (1996) found little in the management literature written specifically about managerial effectiveness. They report there 'has not been a great deal of work looking specifically at the public sector in general nor into the nature of managerial effectiveness in the public sector (including *the NHS and local government*) in comparison to the private sector'. It seems there has been, and continues to be, a dearth of managerial effectiveness research in the health service sector of the UK, the few exceptions being, for example, the studies of Flanagan (1990) and Willcocks (1992), and more recently those of Alimo-Metcalfe and Alban-Metcalfe (2000 and 2001). Even in the USA where much work has been done studying managerial effectiveness and leadership behaviour, little has examined leaders (or *managers and administrators*) in health care settings (Shipper *et al.*, 1998). Hence there are sound arguments for more management studies to be done in this area designed to understand exactly what behaviours are consistent with managerial effectiveness and success within the healthcare sector.

Flanagan and Spurgeon (1996) also draw attention to the fact that much of the managerial effectiveness research that has been done, as reported in the literature, is based on North American work. However, there are significant cultural and organizational differences affecting the managerial environment of the USA in relation to the UK which they consider to be problematic. The generalizability of the US findings to non-US cultures has been questioned recently by other commentators, including Peterson and Hunt (1997), Holt (1998) and Alimo-Metcalfe and Alban-Metcalfe (2001). Their collective concerns add extra weight to the views that challenge the notion and existence of the 'universally effective-manager'.

From another perspective Alexsson (1998) claims that despite the volumes of research that have been done in the field of management generally, few studies have produced empirical results that can be generalized beyond particular organizational settings. For example, resulting from a wide ranging historical search for a strong empirical base to support the concept of evidence-based management in healthcare, he concluded that after nearly 100 years of research on organization and management the practical knowledge in the field seems to be back almost on the same (*very low*) scientific level as when the research started. As he observes, most of the empirical research programmes carried out have been case studies of organizations, projects or change processes with few yielding results that could be generalized from one organization to another. In many instances the research appears to have become an end in itself with little relevance for practical management. This criticism has more recently been made by other commentators. For example, in its call for papers on *'Practitioner and Practice-grounded Research'* for a Special Research Forum for the 2001 Academy of Management Meeting in Washington, D.C., the Academy drew attention to the fact that 'academic (*management*) research is increasingly criticized for being too narrow, method driven, not responsive to real organizational needs, or simply irrelevant relative to the demands of a knowledge driven approach'. Drawing on the conclusions of Lowendahl and Revang (1998) it argues that these criticisms 'reflect a need for the academic community to explore new research methods and processes'. This needs to be done by addressing the 'double hurdle' of conducting academically rigorous and relevant management research that is not just 'explanatory science concerned with knowing the "what" of management, but is also concerned with discovering the "how" of management through the production of management knowledge in the context of application'. Furthermore, the Academy's call was for papers on practitioner and practice-grounded management research that creatively used alternative approaches including quantitative methods combined synergistically with qualitative methods. As Bryman (1997) comments in discussing the methodological and epistemological issues concerned with the study of leadership, 'the emphasis of the new Leadership Approach has led to an awareness that the ways in which the (leadership) process occurs requires in-depth understanding of particular cases and detailed probing among both leaders and subordinates of aims and impacts'. To such ends, a 'methodological strategy seems required which involves observation, in-depth interviewing and detailed examination of documents'. All of these are closely associated with qualitative research that brings to the study of leadership an approach which sees leadership through the eyes of leaders and followers'.

Although the present research study has been aimed specifically at understanding one aspect of organizational life within the case study NHS Trust hospital, namely the criteria of managerial effectiveness applying within that organization, it has also been designed and carried out with the intent of drawing out practical and generalisable conclusions of the kind sought by Alexsson (1998). Furthermore, the research method used has been a synergistic combination of qualitative and quantitative approaches, which accord, with the recommendations of Bryman (1996) [AQ1] and the more recent call by the Academy of Management.

As already implied much research has been done over the past thirty years or so concerning the study of managerial and leadership behaviour. However, the majority of studies have almost exclusively been focused on the 'absolute' or relative 'frequency' of observed behaviours, or on the amount of time devoted to particular activities, and not on the 'quality' or 'mastery' of specific behaviours associated with either effective or ineffective management and leadership (Shipper, 1991; Shipper and White, 1999; Yukle, 1994). Furthermore, O'Driscoll *et al.* (1991) suggest the frequency of activities performed by managers is unrelated to the way subordinates rate managerial competence. Hence, the present study has been focused primarily on identifying specific managerial behaviours and competencies that are perceived to be causally linked to effective and ineffective management performance. In part the study complements those of Flanagan (1990) and Alimo-Metcalfe and Alban-Metcalfe (2000). However, as already mentioned, whereas the work of these researchers focused predominantly upon top and senior managers, the present study focuses mainly on middle, junior and front line managers.

Basing their arguments on the work of writers such as Atwater and Yammarino, 1992; Bass and Yammarino, 1991 [AQ2]; Foti 1990; Shipper, 1991; Thornton, 1980, and Tsui and Ashford, 1994; it has been suggested by Van Der Velde *et al.* (1999) that the ways in which managers are perceived and evaluated by others are important determinants of managerial success. However, subordinates, peers, superiors and self-perceptions often differ in their judgement of behaviours and perceptions constituting managerial effectiveness. This conclusion is supported by Shipper (2000) who recommends that managerial effectiveness should be examined from the perspective of both superiors and subordinates. It so happens a multiple perspective was adopted for the present study.

Research method

As for previous empirical studies of managerial effectiveness carried out by the author (Hamlin, 1988; Hamlin and Reidy 1997) a combination of qualitative and quantitative methods was also adopted for this study. The investigation was conducted from a 'grounded theory' perspective, thereby minimizing the intrusion of preconceived ideas of managerial/leadership effectiveness, and obviating the use of established constructs and diagnostic instruments created by other researchers such as the Multifactor Leadership Questionnaire (MLQ) of Bass and Avolio (1990). The value of using grounded theory approaches and qualitative research methods for investigating management and leadership is increasingly being recognized, advocated and deployed by other researchers (Alimo-Metcalfe and Alban-Metcalfe, 2000; Conger, 1998; Parry, 1998)

The research programme comprised three stages, as follows:

Stage 1

In this first phase of job analysis, statements of specific behaviours and behavioural dimensions characterizing effective and ineffective management were generated using the well established Critical Incident Technique (CIT) as originated by Flanagan (1954), and applied by Latham *et al.* (1975) in the USA and by Hamlin (1988) and Hamlin and Reidy (1997) in the UK. The definitions relating to the terms 'incident' and 'critical incident' used to research effective and ineffective management performance within the NHS Trust Hospital context were those originally established by Flanagan as follows: 'incident'—any observable human activity that is sufficiently complete in itself to permit inferences and predictions to be made about the person performing the act; 'critical incident'—where the purpose and intent of the incident is seen to be clear and its consequences sufficiently definite to leave little doubt concerning its effects.

Effective management performance was defined as 'behaviour which one would wish all managers to adopt if, and when, faced with similar circumstances'. Ineffective management performance was defined as 'behaviour, which, if it occurred repeatedly or even once in certain circumstances might cause one to begin to question or doubt the managerial ability of the particular manager observed in that instance'.

Stage 1 involved interviewing 45 managers of mixed gender across four levels of the management hierarchy, excluding the senior and top managers, plus 12 non-managers also of mixed gender, in order to obtain examples of 'effective' and 'ineffective' management performance applying within the organization. Each person was asked to describe five examples of 'effective' and 'ineffective' managerial behaviour which they had personally observed within the preceding six months, and which in hindsight could be regarded as 'critical incidents'.

Managers interviewed were not allowed to volunteer critical incidents (CIs) based on their own managerial practice, but only those they had observed in the management practice of other managers. In total 405 critical incidents were collected.

Stage 2

This phase concerned the creation and administration of a Behavioural Item Questionnaire (BIQ) based on the Stage 1 findings. The process comprised in the first instance a detailed sorting of the CIs, which revealed degrees of overlap, duplication and similarity of meaning. Only those that were found to be the same as or similar in meaning to at least two other CIs gathered from different parts of the organization were used. Twenty-eight CIs were considered unusable for a variety of reasons such as lack of detail, suitability and/or 'critical' element or being 'single' incidents. Ultimately 377 CIs were used to create the BIQ. Of these 161 were 'positive' examples of effective management and 216 were 'negative' examples of ineffective management. In developing the BIQ the CIs were examined for sameness or similarity of meaning and thereby grouped to create a set of discrete 'positive' and 'negative' behavioural items. Each behavioural item comprised a minimum of three and up to a maximum of nine CIs with one being selected in most cases as a representative 'verbatim' statement of that particular critical behaviour. In some instances composite behavioural items were constructed from certain clusters of CIs. The BIQ so created comprised 55 discrete, randomized behavioural items to which were attached a 5-point Likert rating scale. Following a pilot exercise administering the BIQ the instrument was reduced to 52 items with an equal balance of 'effective' (positive) and 'ineffective' (negative) behavioural statements (items).

Stage 3

This final stage involved establishing job dimensions and identifying criteria of managerial effectiveness through a process of reducing, classifying, and grouping the effective and ineffective behavioural items into behavioural categories. To avoid the possibility of subjective judgements of the researchers/job analysts creeping into and contaminating the research findings, it was decided to use a statistical method for exploring the relationships between the 52 behavioural items and for making sense of the large number of correlations between these variables. As in previous studies SPSS factor analysis was chosen for this purpose and the particular method considered most appropriate to secure a maximum number of extracted factors was 'alpha factoring with varimax rotation'. The BIQ was administered to three sets of people within the NHS Trust Hospital as follows:

- managers and non-managers who were asked to use the BIQ to rate their immediate line manager (*'bottom up' rating*)
- managers who were asked to rate themselves against the BIQ (*'self rating'*)
- managers, who were asked to rate a number of managers reporting directly to them, including those they considered on balance their 'most' and 'least' effective managers respectively (*'top down' rating*).

A total of 44 'bottom up', 64 'self rated' and 31 'top down' BIQs were obtained and subjected to factor analysis. The 26 positive items and 26 negative items comprising the BIQ were separately 'alpha' factor analysed for each 'bottom up', 'self-rated' and 'top down' data set. This yielded statistically stable factorial solutions for all data sets except for the 'top down' negative items. However, by applying the 'principal components' method of factor analysis stable solutions were obtained for both positive and negative items of this data set. Following the factoring process the factors so extracted were explored for meaning and given descriptive labels that described in essence the nature and classification of the respective behavioural items loaded onto each factor. Items that loaded at or above 0.30 were regarded as statistically significant (Comrey, 1973). Items that were highly loaded on more than one factor were eliminated. As will be discussed later the resultant factorial solutions derived from each data set were very similar, thereby mutually reinforcing the reliability and validity of the results. What follows is a summary of the findings from this empirical research on managerial effectiveness within the case study NHS Trust Hospital.

NHS Trust hospital results

Results from 'alpha' factoring the 'bottom up' ratings of managers

The results from the 'bottom up' questionnaire whereby individuals including both managers and non-managers rated their own line managers are given in Table 1. Each of the factors are described below with their associated factor loadings. The factor loading provides the extent to which the items reflect the nature of the construct. The percentage of variance provides the explanatory power of the factor. [*Note: According to Comrey (1973) a factor loading >0.71 is Excellent; >0.63 is Very Good; >0.55 is Good and >0.45 is Fair.*]

Based on the perceptions of subordinates this research suggests there are five criteria (factors) of managerial effectiveness, two being associated with managerial success and three with managerial failure.

Results from 'alpha' factoring the 'self' ratings of managers

This section describes in outline only the factors obtained by the factoring of the 'self rated' BIQ data as set out in Table 2. However, an indication is given as to the number of behavioural items (*BIs*) loaded onto each factor and the range of the respective factor loadings (*FLs*).

Based on the self-perceptions of managers this research suggests there are eight criteria (factors) of managerial effectiveness with four associated with managerial success and four with failure.

Results from factoring the 'top down' ratings of managers

This section outlines the factors obtained from the 'top down' data.

The results of the 'alpha' factoring of the 'positive' data based on the 'top down' perceptions of superiors suggests there are four criteria of managerial effectiveness associated with management success. As mentioned above a statistically stable solution could not be obtained from 'alpha' factoring the 'negative' data. However by applying the 'principal components' method both a 'positive' and 'negative' factorial solution were obtained as outlined in Table 4.

Based on the perceptions of superiors the 'principal components' factoring solution suggests there are eight criteria (factors) of managerial effectiveness, three being associated with management success and five with failure.

As can be seen by comparing and contrasting the positive 'alpha' and 'principal components'

Table 1 *'Alpha' factorial solution from the 'bottom up' ratings of managers*

Positive behaviours

Factor 1: Organization, planning and support
This factor is concerned with being well organized, efficient and effective; being good at planning; thinking ahead and developing long-term plans; and also about supporting staff. The factor explains 69% of the variance and the key items strongly loaded on to it were:
- when faced with urgent problems, is good at making decisions, following them through and keeping promises (0.794)
- runs meetings efficiently and effectively (0.791)
- develops a long term department strategy and plan which provides clarity and purpose (0.786)
- gives support to staff in developing their careers (0.768)
- thinks ahead and makes sure things are done in good time and prepares well (0.752)
- takes control of difficult situations and deals with them quickly and appropriately (0.631).

Factor 2: Open and personal management style
This factor is about developing trust, listening, being open to staff and adopting a personal approach. The factor explains 4% of the variance and comprises six key items as follows:
- gives time to listen to staff with problems or worries relative to work or personal issues (0.858)
- is approachable and makes themselves readily available to staff (0.828)
- develops a sense of trust with staff (0.790)
- keeps staff and colleagues regularly informed and up to date on what is happening and on matters directly affecting them (0.780)
- deals with difficult and personal issues with sensitivity (0.779)
- gives staff the freedom/support to perform their own work in the way they see fit within their area (0.716).

Negative behaviours

Factor 1: Undermining and dictatorial/ autocratic behaviour
This factor comprises two main strands, namely undermining behaviour and dictatorial/ autocratic managerial style which indicate a lack of concern or consideration for staff and/or colleagues. The factor explains 61% of the variance with nine strongly loaded items as follows:-
- engages in bullying and humiliates staff (0.819)
- undermines or dismisses the efforts of staff (0.750)
- exhibits manipulative, politicking and undermining behaviour (0.727)
- during meetings makes inappropriately off hand remarks or inappropriately voices disagreements in public (0.708)
- overrides colleague managers, goes behind the back or over the heads of other managers (0.677)
- refuses to admit to his/her own mistakes or errors in judgement (0.629)
- fails to fully understand the problems with the department/unit or the complexities of situations at ground level (0.590)
- forces or imposes change upon people without consultation and collaboration (0.579)
- is inconsistent or is unfair in their dealings with people (0.558).

Factor 2: Avoidance behaviour
This factor, which is to do with avoidance behaviour, has two strands. One concerns the ignoring of rules, policies, procedures and problems, and the other concerns avoiding responsibilities and giving insufficient time to things. The factor explains 7% of the variance with the following key items loaded on to it:
- refuses to recognize problems or deadlines and avoids making decisions or taking necessary action (0.805)
- when in meetings tends to parade and overemphasize the negative views rather than the positive (0.790)
- gives insufficient time to and/or is insufficiently organized when handling paperwork (0.776)
- avoids or abdicates his/her responsibilities (0.704)
- ignores hospital policy/ rules and attempts to bypass the system (0.644)
- fails to follow correct/ appropriate procedures (0.582).

Factor 3: Failing to inform other people
This factor is primarily about failing to keep people informed, to being open and forthright in communications and obtaining necessary information. The factor explains 5% of the variance. The following items are key to the factor:
- neglects to inform own and/or other staff of things that are going to happen (0.866)
- fails to inform or notify the right people at the right time (0.832)
- takes action before obtaining or checking the necessary information (0.682)
- fails to be honest, forthright and upfront in their communications and dealings with people (0.616).

Table 2 *'Alpha' factorial solution from the 'self' ratings of managers*

Positive behaviours			
Factor 1: Active supportive leadership This factor is predominantly to do with being approachable, developing trust, handling difficult and personal issues with sensitivity, and taking action to help and support staff. The factor explains 54% of the variance. (*BIs:* 7 *FLs*: 0.758–0.522)	*Factor 2: Inclusive decision making* This factor is concerned with involving staff in decision making, listening to their ideas, canvassing opinions, and empowering them to make their own decisions. The factor explains 5% of the variance. (*BIs:* 5 *FLs*: 0.701–0.526)	*Factor 3: Organization and planning* This factor is primarily concerned with being well organized, efficient and effective, and also being good at planning, thinking ahead and developing long term plans. The factor explains 4% of the variance. (*BIs:* 5 *FLs*: 0.792–0.511)	*Factor 4: Looking after the interests and needs of staff* This factor is about showing concern for individuals by giving them support for their personal or career development; by effective delegation, by taking a personal interest, and by giving praise. It is also about monitoring the collective needs of staff and their department. This factor explains 3% of the variance. (*BIs:* 6 *FLs*: 0.709–0.533)
Negative behaviours			
Factor 1: Dictatorial/autocratic management and negative approach Overall this factor is concerned with a general lack of concern or consideration for other people. Behaviours reflecting bullying and a threatening manner was key to this factor. The factor explains 54% of the variance. (*BIs:* 7 *FLs*: 0.848–0.617)	*Factor 2: Not informing people and exhibiting poor organization* Essentially this factor is about failing to inform, notify and instruct people. However, items were also related to poor organization and prioritisation. The factor explains 8% of the variance. (*BIs:* 6 *FLs*: 0.693–0.436)	*Factor 3: Ignoring and avoidance behaviour* This factor is about avoidance behaviour such as ignoring policies, rules and procedures, bypassing systems, and hiding from one's own mistakes. It explains 4% of the variance. (*BIs:* 5 *FLs*: 0.739–0.554)	*Factor 4: Self-serving or uncaring management* This factor is essentially concerned with achieving ones own aims and interests through manipulation and politicking at the expense of other people. The factor explains 3% of the variance. (*BIs:* 3 *FLs*: 0.772–0.513)

factorial solutions, there is a high degree of similarity in the two sets of extracted factors both in terms of the factorial labels and the type of managerial behaviours comprising these factors. This being the case, it has been considered both sound and appropriate for the comparative analysis discussed in the following section, to use this stable negative 'principal components' solution in place of the desired 'alpha' solution that could not be obtained.

Result of comparing the 'bottom up', 'self' and 'top down' factorial solutions

A comparison of the positive factors extracted by factoring the 'bottom up', 'self' and 'top down' rated BIQ data's respectively reveals a high degree of coincidence, sameness and similarity between the criteria (factors) of managerial effectiveness obtained. As can be seen in Table 5 the judgments and perceptions of managerial effectiveness and ineffectiveness of managers themselves, their superiors and their subordinates, appear to have very much in common. Of the ten 'positive' criteria only three were specific to one perspective, namely 'Looking after the interests and needs of staff' which managers themselves perceived as a key criterion contributing to their own effectiveness, and 'Empowerment and delegation' and 'Informing people' which were amongst the five 'positive' criteria identified from the perceptions of superiors.

A comparison of the 'negative' factors across all three data sets also reveals a high degree of similarity and coincidence. Two of the five

Table 3 *'Alpha' factorial solution from the 'top down' ratings of managers*

Positive Behaviours			
Factor 1: Planning and organization /giving support to staff This factor has two strands, one concerned with being well prepared, well organized and efficient; with thinking ahead, and ensuring things are done in good time. The other strand concerns giving physical and emotional help and support to staff. The factor explains 64% of the variance (*BIs*: 7 *FLs*: 0.763–0.485)	*Factor 2: Inclusive decision making and personal approach* This factor is primarily concerned with effective decision making where the manager uses his/her resources well to aid in the process, gathers and assesses all the relevant facts, listens to the ideas of staff, develops a sense of trust, and adopts a personal approach. The factor explains 6% of the variance. (*BIs*: 5 *FLs*: 0.858–0.581)	*Factor 3: Empowerment and delegation* This factor is concerned with encouraging staff to work through their own problems, giving them the freedom and discretion to make their own decisions or be involved in decision-making, and to pro-actively delegate. The factor explains 4% of the variance (*BIs*: 4 *FLs*: 0.774–0.511)	*Factor 4: Informing people* This factor is wholly concerned with keeping people regularly informed and up to date. The factor explains 3% of the variance. (*BIs*: 1 *FLs*: 0.700)

'top–down' rated criteria, namely 'Lack of concern for staff' and 'Abdicating from roles and responsibilities', appear to be completely perspective-specific, as do two strands of two of the 'self' rated criteria, namely 'Negative approach' and 'Exhibiting poor organization'.

Hence, these results in part support the findings of Atwater and Yammarino (1992) who found that superiors often appreciate and value different behaviours to those of subordinates, and of Foti (1990) who found that subordinates believed proactive managerial behaviour less important than supervisors. From a study of the literature Van Der Velde *et al.* (1999) suggest subordinates, supervisors, peers and self-perceptions often differ in their judgements of behaviour, which was confirmed from their own research into middle managers' perceptions of top managers versus top managers' self-reports. This was especially so with respect to activities generally being regarded important such as developing ideas, motivating people, planning and decision making.

However, in contrast, the present study suggests that a very strong common judgement does exist between superiors, managers and subordinates on what is important in determining managerial effectiveness. For example, all identified 'Organization and planning' and 'Supporting staff' as key criteria of managerial effectiveness, whilst both superiors and managers appear to value 'Inclusive decision making' and an 'Open, personal approach or style' to managing staff. It should be noted, however, that the Van Der Velde *et al.* study focused on middle and top managers in a large insurance company, whereas the focus of this study was on non-managers/managers (*bottom-up rated/subordinates' perspective*), front line managers/middle managers (*self-rated/managers' perspective*) and middle managers/top managers (*top-down rated/superiors' perspective*) in a healthcare setting. The results suggest several criteria of managerial effectiveness have been applying within the case study NHS Trust Hospital, as given in Table 6. Of these, the criteria possessing factorially the highest percentage of variance and explanatory power, and hence perceived as most 'strategic' to success (*most effective*) or failure (*least effective*) as a manager within this organization, were respectively 'Organization and Planning/Active Supportive Leadership/Giving Support to Staff' and 'Dictatorial and Autocratic Management/Intimidating staff/Negative Approach'. The three positive criteria accord closely with the combination of 'structuring' and 'interpersonal' skills that 'the most effective managers in healthcare have' *in the USA* (Shipper and White, 1998). For their study, Shipper and White used an adapted version of the Wilson *et al.* (1996) leadership skills measurement instrument. The results strongly support Shipper and White and others who contend that managers need to develop sets of

Table 4 *'Principal components' factorial solutions from the 'top down' ratings managers*

Positive behaviours

Factor 1: Organization and planning/proactive, and supportive leadership This factor is loaded with two distinctive strands of managerial behaviour. One comprises seven behavioural items all concerned with effective organization and planning (*BIs*: 7 *FLs*: 0.94–0.720) The other strand also comprises seven behavioural items and these all relate to different facets of a proactive, supportive and personal approach to management and leadership. The factor explains 66% of the variance (*BIs*: 7 *FLs*: 0.863–0.617)	*Factor 2: Empowers staff and delegates effectively* This factor is about managers encouraging staff to resolve their own problems, giving them the freedom to work in ways they see fit, involving them in decision making and being proactive and effective in delegation The factor explains 7% of the variance. (*BIs*: 4 *FLs*: 0.879 –0.595)	*Factor 3: Informing people* This factor is wholly concerned with keeping people regularly informed and up to date. The factor explains 5% of the variance. (*BIs*: 1 *FLs*: 0.908)

Negative behaviour

Factor 1: Ignoring and avoiding behaviour/ intimidating staff This factor is predominantly concerned with ignoring and avoidance behaviour such as ignoring policies, and rules; failing to follow correct procedures; not being open, honest and forthright in communications; avoiding responsibilities; and refusing to admit to own mistakes. It is also to do with bullying, humiliating and threatening behaviours. The factor accounts for 62% of the variance. (*BIs*: 8 *FLs*: 0.876–0.724)	*Factor 2: Uncaring, self serving management focus/ undermining of others* This factor comprises managerial behaviours that are, for example, concerned with being inconsistent, unfair, and non-supportive, undermining and dismissive of other people and their efforts, and also manipulative or politicking in nature. The factor explains 9% of the variance. (*BIs*: 4 *FLs*: 0.855–0.587)	*Factor 3: Inadequate flow and use of information* This factor is essentially about failing to inform, notify or instruct staff and not discussing matters with them. It is also about not obtaining or checking information prior to action. The factor accounts for 6% of the variance. (*BIs*:6 *FLs*: 0.872–0.355)	*Factor 4: Lack of concern for staff* This factor is about placing unrealistic workloads and pressures on staff and forcing or imposing changes without consultation. The factor explains 5% of the variance. (*BIs*: 2 *FLs*: 0.888–0.789)	*Factor 5: Abdicating from roles and responsibilities* The three behaviours loaded on to this factor are all concerned with different kinds of abdicating from roles, responsibilities and what needs to be done. The factor accounts for 4% of the variance. (*BIs*: 3 *FLs*: 0.837–0.617)

Table 5 *Comparison of the 'bottom up', 'self' and 'top down' rated criteria of managerial effectiveness*

			Positive factors		
Factor	*'Bottom up' rated*	*Factor*	*'Self rated'*	*Factor*	*'Top down' Rated*
1	Organization planning and supporting	1	Active supportive leadership	1	Planning and organization/giving support to staff
2	Open and personal management style	2	Inclusive decision making	2	Inclusive decision making and personal approach
		3	Organization and planning	3	Empowerment and delegation
		4	Looking after the interests and needs of staff	4	Informing people
			Negative factors		
Factor	*'Bottom up' rated*	*Factor*	*'Self rated'*	*Factor*	*'Top down' rated*
1	Undermining and dictatorial/autocratic behaviour	1	Dictatorial/autocratic management and negative approach	1	Ignoring and avoiding behaviour/intimidating staff
2	Avoidance (ignoring) behaviour	2	Not informing people/ exhibiting poor organization	2	Uncaring, self-serving management focus/ undermining of others
3	Failing to inform other people	3	Avoidance (ignoring) behaviour	3	Not giving, receiving or using information
		4	Self-serving and uncaring management	4	Lack of concern for staff
				5	Abdicating from roles and responsibilities

both 'hard' structuring and 'soft' interpersonal leadership skills to be effective rather than a single set of skills (e.g. Quinn, 1988; Shipper and White, 1996; Shipper and Wilson, 1992; Whetton *et al.*, 1994). They also challenge the pervasive trend in the literature, as commented upon by Alimo-Metcalfe (1998) drawing on Schein (1994), which shows with remarkable consistency that the qualities associated with effective managers appear to be related strongly to those commonly associated with men (the 'hard' qualities) and unrelated to those of women (the 'soft' qualities).

Generalizability of research findings

To determine whether or not the NHS Trust Hospital criteria of managerial effectiveness are 'organizational-specific' or 'universal' a

Table 6 *Criteria of managerial effectiveness applying within the NHS Trust hospital*

Positive criteria	Negative criteria
Organization and planning	Dictatorial/autocratic management
Active supportive leadership	Intimidating staff
Giving support to staff	Negative approach
Open and personal management approach or style	Undermining of others
Inclusive decision making	Avoidance and ignoring behaviour
Looking after the interests and needs of staff	Failing to inform other people
Empowerment and delegation	Not giving, receiving or using information
Informing people	Exhibiting poor organization
	Self serving and uncaring management
	Lack of concern for staff
	Abdicating roles and responsibilities

comparison has been made with criteria from a near identical empirical research study carried out within the Anglia Collection of HM Customs and Excise, a major Department of the British Civil Service (Hamlin, Reidy and Stewart, 1998), and with the factors comprising a 'New Model of Transformational Leadership' recently devised by Alimo-Metcalfe and Alban-Metcalfe (2000 and 2001) for use within local government and the NHS.

Comparison with the HM Customs and Excise 'Anglia' research on managerial effectiveness

Although a public sector organization such as the NHS, the 'business' and 'culture' of HM Customs and Excise is radically different. The research focused upon the management task of middle managers (Higher Executive Officers–HEOs) and first-line managers (Executive Officers – EOs) who had within their respective roles significant amounts of responsibility for managing people. In the 'Anglia' study over 130 managers in HEO and EO roles were interviewed and over 1200 critical incidents were collected and used to create the BIQ. This was administered to the HEOs and EOs who were required not only to rate their immediate subordinates ('top down' rated) but also themselves ('self rated'). Neither they, nor the non-managers who had taken part in the research, were asked to rate their immediate superiors ('bottom up' rating) as had been the case in the NHS Trust Hospital research programme. The two sets of data from the BIQ rating exercise were factor analysed using alpha factoring with varimax rotation to extract both positive and negative factors. A comparative analysis of the 'self-rated' criteria, including the respective behavioural underpinnings, has revealed a very high degree of coincidence as can be inferred from Table 7.

The only criteria not in both sets of data is 'managing change' which is one of the six positive criteria applying within the Anglia Collection of HMCE, and 'not informing people' which is one of the six negative criteria applying within the NHS Trust Hospital. This suggests that most of the criteria of managerial effectiveness from both studies are capable of being generalized.

A strong similarity and coincidence also occurs between the 'top down rated' criteria as can be seen in Table 8, though more so in terms of the negative criteria than the positive. From these results it appears top managers in both organizations perceived 'proactive management and leadership' including effective planning and organization, and 'delegation and empowerment', and 'giving support to staff' as key determinants of managerial effectiveness. Whereas the top down raters in the 'Anglia' study, many of whom were top managers, perceived one other key criterion of

Table 7 *Comparison of the 'self-rated' criteria from the NHS Trust hospital and 'Anglia' studies*

NHS Trust hospital criteria	HM customs and Excise criteria
Positive	
Active supportive leadership	Supportive/participative leadership
	Proactive team leadership
Inclusive decision making	
Organization and planning	Proactive management
Looking after the interests/needs of staff	Active development of others
	Managing change
Negative	
Dictatorial/autocratic management	Autocratic/dictatorial management
Negative approach	Being deliberatively obstructive
	Entrenched management thinking
Not informing people	
Exhibiting poor organization	Irrational management (*Disorganized/political*)
Avoidance/ignoring behaviour	Ignoring
	Overriding needs of individuals and organization
Self-serving/uncaring management	Uncaring management
	Inconsiderate of other teams/Passing the buck
	Narrow parochial behaviour

Table 8 *Comparison of the 'top down' criteria from the NHS Trust hospital and 'Anglia' studies*

NHS Trust hospital criteria	HM Customs and Excise criteria
Positive	
Planning and organization	Proactive management (*Includes being proactive in planning and organizing*)
Giving support to staff	Active supportive leadership
	Developing others
Inclusive decision making	
Personal approach	
Empowerment and delegation	Effective delegation and empowerment
Informing people	Team orientation
Negative	
Ignoring and avoiding behaviour	
Intimidating staff	Lack of emotional control/adjustment
Uncaring, self serving management focus	Uncaring, self serving management focus
Undermining others	Depriving individuals of recognition, reward and developmental opportunities
Not giving, receiving or using information	
Lack of concern for staff	Autocratic/dictatorial management (*Lack of concern/consideration for staff*)
Abdicating from roles and responsibilities	Abdicating responsibilities
	Tolerance of poor performance/low standards
	Resistance to change

managerial effectiveness, namely 'team orientation', the top down raters in the NHS Trust Hospital study identified three additional criteria, namely 'inclusive decision making'; 'personal approach to managing'; and 'informing people'.

Of the seven negative criteria identified within the NHS Trust Hospital study, five are virtually the same in terms of behavioural content and meaning as all of the seven negative criteria from the 'Anglia' study, except for one. One could conclude from the comparison that the two other negative criteria from the 'NHS' study are 'organization-specific', particularly because 'ignoring and avoiding behaviour' and 'not giving, receiving or using information' would most likely be perceived as very serious acts of managerial ineffectiveness within the work situation of an acute hospital, more so than in many other organizational settings. Although the negative criterion from the 'Anglia' study — 'resistance to change' appears also to be 'organization-specific', it should be noted that 'resistance to change versus active innovative management' was one of seven 'universal' criteria of managerial effectiveness resulting from a comparable empirical research study carried out previously by the author in UK Secondary Schools (Hamlin, 1988).

Comparison with the 'new model of transformational leadership'

The 'New Model of Transformational Leadership' is the culmination of a two-year exploratory investigation into the nature of leadership at the higher levels of management in local government and the NHS. This factor analytic study was co-sponsored by the Local Government Management Board and the Nuffield Institute for Health at Leeds University and carried out by Alimo-Metcalfe and Alban-Metcalfe (2000 and 2001) For the investigation they adopted a 'grounded theory' approach; used Kelly's Repertory Grid Technique to investigate the constructs of leadership by interviewing male and female managers in both NHS ($N = 49$) and local government ($N = 43$) settings, devised behavioural statements from the construct; developed and piloted a Behavioural Item Questionnaire ($N = 176$ items); and then administered this to named top, senior and middle level managers selected randomly from a national, stratified databank of organizations. A total of 1664 BIQs were factor analysed using the principal components method with varimax rotation. This yielded nine factors that were interpreted, labelled and used to create two versions of a new Transformational Leadership Questionnaire that could be applied to both National Health Service (NHS) and local government (LGV) settings respectively. The factors comprising the NHS and LVG versions of the questionnaire are listed and juxtaposed in Table 9. The behavioural content, interpretation, meaning and hence labelling of both sets of factors proved to be very similar, as can be inferred from Table 9, or by comparing the research results of Alimo-Metcalfe and Alban-Metcalfe (2000 and 2001) as published in the management literature.

Table 9 *Comparison of the NHS Trust hospital criteria of managerial effectiveness and the 'new model of transformational leadership'*

	New model of transformational leadership (nine factors)	NHS Trust hospital criteria of managerial effectiveness	NHS Trust hospital criteria of managerial effectiveness
	Local Government *National Health Service*	*Positive criteria*	*Negative criteria*
1	Genuine concern for others *Genuine concern for others*	Looking after the needs and interests of staff Giving support to staff Active supportive leadership	Self serving and uncaring management Lack of concern for staff
2	Political sensitivity and skills *Ability to analyse and think creatively* *Managing change sensitively and skillfully*		
3	Decisiveness, determination self confidence *Decisiveness, determination, readiness to take risks*	Organization and planning	Exhibits poor organization Avoidance and ignoring behaviour Abdicating from roles and responsibilities
4	Integrity, trustworthy, honest and open *Transparency (Integrity)*	Open and personal management approach or style Active supportive leadership	Undermining of others Intimidating staff Avoidance and ignoring behaviour Negative approach
5	Empowers, develops potential *Empowers others to lead*	Empowerment and delegation Looking after the interests and needs of staff	Dictatorial/autocratic management Undermining of others Negative approach
6	Inspirational net worker and promoter *Inspirational communicator, net worker and achiever. Charisma*	Informing people	Failing to inform other people Not giving, receiving or using information
7	Accessible, approachable *Accessibility, approachability and flexibility*	Open and personal management approach or style Active supportive leadership	Dictatorial/autocratic management
8	Clarifies boundaries, (keeps others informed) and involves others in decisions *Ability to draw people together with a shared vision*	Organization and planning Informing people Inclusive decision making	Failing to inform other people Not giving, receiving or using information
9	Encourages critical and strategic thinking *Encouraging challenges to the* status quo. *Supporting a development culture*		

A detailed comparative analysis has been carried out on the factorial and behavioural construct of the 'New Model of Transformational Leadership' and the criteria of managerial effectiveness obtained from the present 'NHS Trust Hospital' study. The results of the comparison are set out in Table 9, which shows how the 'NHS Trust' criteria map against the 'New Model' factors. The comparison reveals a high degree of coincidence and similarity for seven out of the nine factors as can be seen. The two factors against which none of the 'NHS Trust' positive or negative criteria of managerial effectiveness could be mapped were as follows: Factor 2: LGV—political sensitivity and skills; NHS—ability to analyse and think creatively/managing change sensitively and skilfully and Factor 9: LGV—encourages critical and strategic thinking; NHS—encourages challenges to the status quo/supporting a development culture.

It is interesting to note that both of these factors are strategic in focus and are clearly associated with organizational change and development/transformational issues which, typically, are addressed by senior and top managers rather than middle and first line managers. A cursory glance at the labels of the other seven factors suggests most would be as relevant to lower levels of management as they are to the higher levels. A detailed comparative analysis of the behavioural content of all the 'factors' and 'criteria' identified from the 'New Model' and 'NHS Trust Hospital' studies as summarized by Table 9 indicates most are largely held in common. It would appear from this analysis that a large majority of the categories of managerial and leadership behaviours ('criteria' or 'factors') found to be consistent with success in all three types of public sector organizations are more or less the same at all levels of management. Although specific items of behaviour within each category may differ, the common perception of their impact from all perspectives tend to be the same.

Discussion

As already outlined the Critical Incident Technique (CIT) was used to obtain from both managers and non-managers specific examples of observed managerial behaviour which, at the time of their observations, were deemed by them to be examples of 'effective' or 'ineffective' management. However only those that strictly fell within the definition of a critical incident as defined by Flanagan (1954) were used for the research study. By using the CIT method, the author believes this approach has addressed to a large extent the criticisms of O'Driscoll *et al.*, 1991; Shipper, 1991; Shipper and White, 1999, and Yukl~~e~~, 1994 who have expressed concerns about the soundness of managerial effectiveness criteria derived by some researchers who have used approaches relying on the 'absolute or relative frequency of observed behaviours' rather than the 'quality' or 'mastery' of specific behaviours.

The results of the NHS Trust Hospital research reported in this article support to some degree the findings of American researchers such as Atwater and Yammarino, 1992; Shipper, 1991 and 2000, Tsui and Ashford, 1994, and of European researchers such as Van Der Velde *et al.*, 1999, who argue that the judgements and perceptions of behaviour constituting managerial effectiveness of superiors and subordinates often differ from the self-perception and judgement of managers themselves. However, the differences in judgement that have emerged from the study are very limited in number across the full range of manager and non-manager perspectives. What is striking is the sameness of perception from the perspective of superiors and subordinates alike who identify both 'organization and planning', 'active supportive leadership' and 'giving support to staff' as the most significant criteria for success, and associate 'undermining', 'ignoring and avoiding', and'dictatorial/autocratic/intimidating' behaviours with failure. In contrast the self perceptions of managers in the-is [AQ3] case study NHS Trust Hospital suggest the 'soft' managerial effectiveness criterion 'active supportive leadership' is overwhelmingly the single most important criterion for success, with the 'hard' criterion 'organization and planning' trailing well behind it in explanatory power within the factorial structure. The reason for this difference in perception is unknown. It may have something to do with gender, and the predominance of women in middle and first line management roles within the case study organization and healthcare in general. This is an issue calling for further investigation, particularly bearing in mind some research findings which show that 'staff are more satisfied with their manager and their job when their perceptions of their manager match the manager's self perceptions' (Alimo-Metcalfe, 1998).

Another striking feature is the fact that the vast majority of criteria, both of high and low explanatory power, appear to be held in common not only within the two respective organizations (NHS Trust and HMCE) but also between them. This points to a significant amount of generalisability of the identified criteria of managerial effectiveness.

Over the past two decades, there has been considerable debate and controversy within the UK concerning the notion of the 'universally effective manager'. Some believe that 'a set of universally applicable management competence criteria—independent of function and organizational context' can be derived as epitomized by the work of Boyatzis (Training Agency, 1988). Other expert commentators such as John Burgoyne (1990) have argued that this approach is misconceived and 'a universal mechanism is inappropriate' (Hamlin and Stewart, 1990; Herriot, 1988; Jacobs, 1989; Smith *et al.*, 1989; Willcock, 1992). As already mentioned Flanagan (1990) and Flanagan and Spurgeon (1996) assumed for their research into managerial effectiveness in the NHS that 'managerial effectiveness' is a subjective vision determined by factors within each organization, and that managerial competencies are situationally dependent, contingent upon the organizational context and therefore 'organization-specific'. They argue that 'for any one organization there is merit in reinventing the wheel in terms of identifying the particular skills and behaviours that are perceived by managers to represent effective management in that organization at that time', and that 'borrowing sets of words or competencies from another organization, even a common set derived from a range of organizations, is only useful if they are debated in terms of meaning and value to the organization in question, and then internalised and operationalised by its managers'.

However, the high degree of similarity, coincidence and potential generalisability revealed by the present study challenge these 'contingent' and 'organization-specific' models of managerial effectiveness, and lend strong support to the notion and existence of the 'universally effective manager' as-reported by Bennett (1983). Although at the 'behavioural level' many of the critical incidents and behavioural items identified by the research are clearly specifically influenced or even conditioned in their detail by the particularities of the respective NHS and HM Customs and Excise organizational settings, and that at the 'factorial' level a number of the identified criteria of managerial effectiveness are 'organization-specific' and/or 'perspective-specific', the large majority of behaviours and factors (criteria) appear to be held in common across all perspectives and between organizations. This suggests these criteria possess 'universal' characteristics. This is further supported by the high degree of coincidence and similarity with the 'new model' factors identified by Alimo-Metcalfe and Alban-Metcalfe (2000 and 2001). Whilst at a behavioural level the research lends a degree of support to the 'contingent model of managerial effectiveness' adopted by Flanagan and Spurgeon (1996), at the factorial level the results overall support more strongly the notion of the 'universally effective manager'. This challenges Flanagan and Spurgeon's view that there can be 'no single clear picture of effective management or effective managers'.

Limitation of the study

One limitation of the study is that it was undertaken in a single NHS Trust hospital. Therefore the criteria of managerial effectiveness identified cannot yet be regarded categorically as generalised to any population of healthcare managers beyond those in the study. Similar research needs to be carried out in other types of NHS Trust healthcare settings including both acute and community hospitals. However, the high degree of similarity and coincidence revealed between the three studies suggests many of the positive and negative criteria identified are likely to be generalizable and 'universal'. A second limitation is the comparative lack of equivalent or near equivalent empirical case study research in other organizations and other sectors against which to compare the findings. A next step in this line of research into managerial effectiveness would be to conduct replica studies in a representative sample of urban and rural acute and community case study NHS Trust hospitals throughout the UK in order to further test the generalisability of the results. It would also be interesting for replica studies to be carried out in the USA to test the generalizability of the UK findings across the two cultures, and to challenge, if possible, Holt's (1998) contention that no universal model exists for how managers can be most effective. Another step in this line of research would be to explore the respective differences (if any) between the criteria of managerial effectiveness adopted by male and female managers and 'nearby' leaders at the lower levels of management within the National Health Service.

Conclusion

The positive criteria of managerial effectiveness point towards the range and type of managerial competencies that managers in the case study NHS Trust Hospital need to possess if they are to be effective and successful, whereas the negative criteria indicate the type of behaviours that should be avoided to prevent failure or being perceived as an ineffective manager. The self-perceptions of managers and the perceptions of their superiors and subordinates concerning what constitutes managerial effectiveness are very similar, and differ on a limited number of criteria only.

There are many similarities and few differences between the findings from the two near identical research studies carried out in the two very different public sector organizations, and from the different but comparable factor analytic 'new model' study carried out by other researchers elsewhere in the NHS and local government organizations. This points to the existence of generalized criteria of managerial effectiveness applying widely within the public sector, and lends support to the notion and existence of the 'universally effective manager'.

The research could provide a sound basis for developing competence-based HR systems including the criteria required for effective performance appraisal and selection systems. The findings could also be used to inform, shape and evaluate management development programmes or organizational change and development initiatives.

Despite the limitations outlined above the research offers the potential for extending the empirical base required to support the development of evidence-based management not only within hospital settings such as the case study organization and other healthcare settings, but also perhaps in local government and other public sector organizations.

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In support of evidence-based management and research-informed HRD through HRD professional partnerships: an empirical and comparative study

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Abstract: This article describes a programme of practice-grounded empirical management research set within an NHS Trust Hospital in the UK that was conducted as part of an HRD Professional Partnership of the kind advocated by Jacobs (1997). The research was concerned with identifying the criteria of managerial effectiveness at the middle and front-line levels of management using critical incident technique and factor analytic methods. The results are compared against those from an equivalent partnership research study carried out previously by the author within one part of the British Civil Service, namely the Anglia Collection of HM Customs & Excise. The findings lend support to the notion of the 'universally effective manager', and provide empirical support for the potential development of evidence-based and research-informed approaches to management and human resource development within the case-study NHS Trust Hospital, and possibly beyond.

Keywords: Criteria of managerial effectiveness, leadership effectiveness, the universally effective manager, management behavioural competencies, evidence-based management, research-informed HRD, partnership research, HRD professional partnerships

Introduction

This article reports the findings of an organizationally based collaborative research project to identify the criteria of managerial effectiveness in an acute NHS Trust Hospital within the British National Health Service. The results provide empirical support for the development of evidence-based and research-informed approaches to management and HRD practice within healthcare and other public-sector organizations.

The present study builds upon similar research into managerial/leadership effectiveness and management behaviours carried out by the author in UK secondary schools (Hamlin 1988), and within the Anglia Collection of HM Customs & Excise (Hamlin and Reidy 1997). It complements the studies of Flanagan (1990), Alimo-Metcalfe and Alban-Metcalfe (2000, 2001), and Gaughan (2001), who have also researched managerial and leadership effectiveness within the British NHS. However, whereas the work of these latter researchers focused predominantly on general managers and members of top management teams, the study reported here is concerned mainly with middle, junior and front-line managers. Furthermore, it addresses several recent

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criticisms found in the American and European management literatures concerning various empirical studies into management behaviour and managerial/leadership effectiveness, as identified, for example, by Shipper (1991), Shipper *et al.* (1998), Shipper and White (1999) and Van Der Velde *et al.* (1999).

Drawing on the thinking of McLagan and Suhadolnik (1989), Marsick and Watkin (1994) and Swanson (1995) in the USA, of the University Forum for HRD (1995), McGoldrick and Stewart (1996), Walton (1999) and McGoldrick *et al.* (2001, 2002) in the UK, and of Simons and Streumer (2001) in the Netherlands, the concept of HRD for the purpose of this article has been taken as comprising 'training and development', including management development, 'career development', 'organizational change and development' and 'learning', including managerial and organizational learning.

The context

Over the past ten years or so evidence-based practice has become well established within medicine and healthcare both in North America and Europe, including Britain (McMaster University Evidence-Based Medicine Working Group 1992; Stetler *et al.* 1998, Sackett *et al.* 1996; Sackett 1997; Gray 1997; Bury and Mead 1998). Recently there have been various calls in the management literature for evidence-based management (Ham *et al.* 1995; Stewart 1998; Axelsson 1998) and also for evidence-based and research-informed approaches within the field of HRD (Jacobs and Vyakarnam 1994; Davies 1996; Hamlin and Davies 1996).

Hamlin, drawing on the definition of evidence-based practice in healthcare as offered by Bury and Mead (1998), suggests the following definition for evidence-based HRD.

> Evidence-based HRD is the conscientious, explicit and judicious use of current best evidence in making decisions about the development of individuals, groups and organisations, integrating individual HRD practitioner expertise with the best available external evidence derived from systematic research.
>
> (Hamlin 2002: 98)

However, he considers that, for many HRD professionals, implementing evidence-based HRD practice even at the lowest strength of 'best evidence' will probably be an unrealizable goal for reasons outside their control. Nevertheless, he argues, this should not mean they ought not to become research minded and build a research orientation into their professional practice. There is evidence that suggests many HRD and HR practitioners already adopt what he has termed 'reflective research-informed approaches to practice', as demonstrated by Hamlin *et al.* (2001). Hamlin also offers a suggested definition for research-informed HRD as follows: 'Research-informed HRD is the conscientious and explicit use of research findings and the research process to inform, shape measure and evaluate professional practice' (2002: 98).

In the related field of organizational change and development (OCD) various writers have called for more research in support of OCD programmes (Quirke 1995; Stewart 1996; Hamlin and Reidy 1997; Hamlin *et al.*1998a). Others such as Skinner *et al.* (2000) have advocated the widespread use and acceptance of good qualitative research as a means of developing in-depth understandings of the complex and messy issues that managers have to investigate. More recently Brewerton and Millward (2001) have introduced a model of the 'scientist-practitioner' whom they define as a professional who is both a practitioner and researcher. Similarly there have been calls in the American management literature encouraging HRD practitioners to use HRD research to enhance HRD practice (Jacobs 1997; Russ-Eft *et al.* 1997; Swanson 1997). Additionally, Jacobs (1997) argues the case for HRD research collaboration between organizations and universities in what he terms 'HRD Professional Partnerships'. Although the goals of the HRD practitioners and HRD scholars in such collaborative partnerships may differ, they invariably complement each other and every effort is made to maintain the integrity of the goals for the common good. Jacobs sees this type of partnership research as a means to achieve the research goal. Both USA and UK examples of such partnerships have been reported in the management literature by, for example, Holton *et al.* (1998) and Hamlin *et al.* (1998a, 1998b).

Despite the various calls for more research to enhance the work of HRD practitioners, it remains the case that HRD in general, and management development and organizational learning in particular, lack a sound and sufficient generalizable empirical base. (From a UK perspective, see Hamlin and Stewart (1998 [drawing on the work of Bates 1995; Stewart and Sambrook 1995; Tate 1995, Mumford 1998; Woodall and Winstanley 1998]), Denton (1998) and Easterby-Smith and Araujo (1999), and, from an American perspective, see, for example, Russ-Eft *et al.* (1996), Bergmann *et al.* (1999), Kunchinke (2000) and Swanson (2000).)

In contrast, many empirical studies have been carried out in the field of management. However, few have produced results that can be generalized beyond particular organizational settings, as revealed by Axelsson (1998) from his wide-ranging historical search for a strong empirical base in support of the concept of evidence-based management in healthcare.

Other expert commentators have criticized much management research as lacking relevance to practice. For example, drawing on the conclusions of Lowendahl and Revang (1998), the American Academy of Management (2001) has recently highlighted the fact that 'academic (*management*) research is increasingly criticized for being too narrow, method driven, not responsive to real organizational needs, or simply irrelevant relative to the demands of a knowledge driven approach', and that these criticisms 'reflect a need for the academic community to explore new research methods and processes'. This needs to be done by addressing the double hurdle of conducting academically rigorous and relevant management research that is not just 'explanatory science concerned with knowing the what of management, but is also concerned with discovering the how of management through the production of management knowledge in the context of application'. Furthermore, the Academy has also been calling for papers on practitioner and practice-grounded management research that creatively uses 'alternative approaches including quantitative methods combined synergistically with qualitative methods'.

Although the empirical research presented in this article is based on a case study aimed at understanding one aspect of organizational life within an NHS Trust Hospital, namely managerial behaviour and the criteria of managerial effectiveness within that organization, the research was designed and carried out with the intent of drawing out practical and generalizable conclusions from results obtained using both qualitative and quantitative methods.

Much behavioural research into managerial and leadership effectiveness conducted to date has been criticized for having been based on the frequency of observed behaviours rather than the quality or 'mastery' of specific behaviours (O'Driscoll *et al.* 1991; Shipper 1991; Yukl 1994; Shipper and White 1999). Furthermore, Shipper *et al.* (1998) observe that 'not much management research conducted to date has been focused on leadership skills [*or behavioural competencies*], and little has been done to examine leaders [*and managers*] in health care settings'. The same appears to apply within the UK. As already mentioned, few empirical studies have been reported except those of, for example, Flanagan (1990), Alimo-Metcalfe and Alban-Metcalfe (2000, 2001) and Gaughan (2001). Like the author, these writers have researched managerial/leadership effectiveness within the NHS. However, whereas their work has focused predominantly upon top and senior managers, the study reported in this article has been concerned mainly with middle, junior and front-line managers.

Various researchers claim that the way in which managers are perceived and evaluated by others is important for managerial success. Subordinates, peers, superiors and self-perceptions often differ in their judgement of behaviours and in their perceptions of what constitutes managerial effectiveness (Foti 1990; Shipper 1991; Bass and Yammarino 1991; Atwater and Yammarino 1992; Tsui and Ashford 1994; Tsui *et al.* 1995; Van Der Velde *et al.* 1999). In light of these claims, and also the findings of his own research, Shipper (2000) specifically recommends that managerial effectiveness should be examined from the perspective of both superiors and subordinates. In the case of the present study a multiple perspective has been adopted.

The research was carried out as part of an HRD Professional Partnership arrangement between the University of Wolverhampton and a local NHS Trust Hospital. This partnership research took place over an eighteen-month period from late 1999 to early 2001, with the author working as an HRD scholar, supported by a research assistant, in collaboration with two HRM(HRD) practitioners from the NHS Trust Hospital, namely the Personnel Director and the Personnel Officer. The primary aim was to identify and develop an understanding of what constitutes managerial/leadership effectiveness at the middle, junior and front-line levels of management. The organization had gone through a period of establishing itself as an NHS Trust Hospital following a recent reform of the NHS by the government. However, it required a further impetus to get managers to consider how they should move on from where they were. The Personnel Director saw the proposed programme of managerial effectiveness research focused on management behaviours as a means to create an internally derived 'managerial competency framework' against which managers could 'measure' themselves. Furthermore, he thought the research process itself and the research outcomes would act as two separate stimuli that would boost managers to reflect upon, and think through more critically, how they were managing. As the strategic organizational partner in the HRD Professional Partnership, he was centrally involved in the formulation of the research design and pivotal in opening up access to the organization and its management for the university researchers. His Personnel Officer acted as an internal facilitator of the research process, which included giving help to the university researchers in organizing group and one-to-one meetings with managers and staff. She also personally administered various aspects of the research process that had to be carried out within the hospital.

Research method

The research programme comprised three stages, as follows:

Stage 1

In this first phase, statements of specific behaviours characterizing effective and ineffective management were generated using the well-established Critical Incident Technique (CIT) of Flanagan (1951). The technique was applied in a way similar to that adopted by Latham *et al.* (1975) in the USA and Hamlin (1988) and Hamlin and Reidy (1997) in the UK. It involved interviewing a representative sample of managers and non-managers drawn from both medical and non-medical departments of the case-study NHS Trust Hospital. These included the Head & Neck Centre, the Surgical, Medical and Women & Children Care Groups, and the Finance and Personnel Departments respectively. Forty-five (45) managers out of a total of 102 senior, middle and junior managers were interviewed, plus twelve (12) non-managers drawn from all six departments. Without revealing the identity of managers they had in mind, each person was asked to describe five incidents of 'effective' and five incidents of 'ineffective' managerial behaviour that they had personally observed within the preceding six months. Managers who were interviewed were not allowed to volunteer critical incidents (CIs) based on their own managerial practice, but only those they had observed in the management practice of other managers. In total 405 critical incidents were collected.

Stage 2

This phase concerned the creation and administration of a Behavioural Item Questionnaire (BIQ) based on the Stage 1 findings. In developing the BIQ the 405 CIs were content analysed by the author and his research assistant working independently of each other. They examined the CIs for sameness or similarity of meaning, thereby grouping them to create a set of discrete positive and negative behavioural items. Each behavioural item comprised a minimum of three and up to a maximum of nine CIs, with one being selected in most cases as a representative verbatim statement of that particular critical behaviour. In some instances composite behavioural items were constructed from certain clusters of CIs. The BIQ so created comprised fifty-five discrete behavioural items which exclusively described managerial behaviour. A 5-point Likert rating scale with the scale ranging from 'almost always' to 'almost never' was appropriately attached to each of the positive and negative behavioural items. Resulting from a pilot exercise in administering the BIQ to check for clarity of wording and face validity, the instrument was reduced to fifty-two items comprising an equal balance of positive and negative managerial behaviours. The BIQ was then sent to the organizational partners in the HRD Professional Partnership who arranged for the instrument to be distributed to a random sample of managers and non-managers. Guidance was given as to the number of individuals to be selected at the senior, middle and junior/front-line levels of management and staff. Each person received the BIQ together with a covering letter from the Personnel Director. This explained the purpose and organizational relevance of the research and the fact that all responses were to be anonymous. A pre-paid envelope addressed to the researchers at the university was attached to each questionnaire. Approximately 30 minutes was suggested as the time required to complete the BIQ instrument.

Stage 3

This final stage involved identifying job dimensions and the criteria of managerial effectiveness through a process of reducing, classifying and grouping the effective and ineffective behavioural items into behavioural categories. SPSS factor analyis was used to explore the relationships existing between the fifty-two behavioural items, and to make sense of the large number of correlations between these variables. The method had been used previously by the author for similar studies (Hamlin 1988; Hamlin and Reidy 1997). Factor analysis is a technique based on how well various items are related to one another and form clusters or factors (Salkind 2000). As Salkind explains, 'each factor represents several different variables [*items*] and factors turn out be more efficient than individual variables [*items*] to represent outcomes in certain studies. In using this technique the goal is to represent those things that are related to one another by a more general name such as a factor' (2000: 270). The particular factor analytic approach used to extract a maximum number of factors was alpha factoring, which Kim (1978) argues is well suited for handling psychometric-based data obtained using questionnaires (such as a BIQ). The BIQ was administered to three sets of people within the NHS Trust Hospital as follows:

1. The total population of middle and junior/front-line managers (N=63) and a sample of non-managers who were asked to use the BIQ to rate their immediate line manager (bottom-up rating).
2. The total population of senior, middle and junior/front-line managers (N=98) who were asked to rate themselves against the BIQ (self rating).
3. The population of top, senior and middle managers (N=79) who had not participated in the Stage I-CIT phase of the research programme were asked to rate a number of managers reporting directly to them, including those they considered on balance to be their most and least effective managers respectively (top-down rating).

A total of 44 bottom-up, 64 self-rated and 31 top-down BIQs were completed and returned. These were subjected to the alpha factoring and varimax rotation with Kaiser normalization method. The twenty-six positive (effective) and twenty-six negative (ineffective) behavioural items comprising the BIQ were separately alpha factor analysed for both the bottom-up-rated, self-rated and top-down rated data sets. Items loading >0.5 on more than one of the factors comprising each of the factorial solutions were excluded from the subsequent stages of analysis and interpretation. Because a sufficiently stable factorial solution could not be obtained for the negative top-down data, the alternative principal component analysis and varimax rotation with Kaiser normalization method was applied. This technique, which generally extracts (identifies) one very large dimension (the principal component) followed by a range of much smaller dimensions (components) from a large set of variables, is claimed to generate solutions that differ little from those derived from factor-analytic techniques (see, for example, Guadagnoli and Velicer 1988). Its use resulted in stable solutions being obtained for both the positive and negative items. The analysis yielded statistically significant correlations resulting in a number of extracted components (from here on to be termed factors) for each of the principal component solutions. Following the alpha factoring and principal component analysis processes, the factors, which can be thought of as behavioural competencies, were explored for meaning and given descriptive labels. The wording of each label was chosen to describe as accurately and as fully as possible the complete essence of the nature and classification of bundled/clustered behavioural items loaded on to the particular factor. As discussed later, the resultant factors derived from the various data sets were similar, thereby mutually reinforcing the reliability and validity of the results. What follows is a summary of the findings obtained.

Research results

Results from alpha factoring the bottom-up ratings of managers

The results from the bottom-up questionnaire whereby individuals including both managers and non-managers rated their own line managers are given in Table 1. Each of the factors is described below with an indication of the number of behavioural items (BIs) loaded on to them and the range of the respective factor loadings (FLs). The factor loadings represent the strength of the respective correlation between the items and the factor on to which they are loaded, and the extent to which these items reflect the nature of the construct. It should be noted that, according to Comrey (1973), a factor loading >0.71 is excellent, >0.63 is very good, >0.55 is good and >0.45 is fair. The common theme among the highly loaded items helps to identify what the factorial construct might be, and the label given attempts to best describe what all items seem to relate to. In the case of some of the factors two common underlying themes appeared among the items which, in combination, explained the factorial construct overall. Hence, in these cases, a twin-themed label was attached to describe these factors. The eigenvalue and percentage of variance of each factor comprising the factorial solution indicate the explanatory power of the factor in terms of the extent to which it explains the common underlying dimensions within the overall data set. SPSS automatically excludes from the factorial solution those factors with eigenvalues <1.0. For the purpose of illustration all of the behavioural items loaded respectively onto each of the two positive factors and three negative factors comprising the alpha factoring bottom-up solution are given in Table 1.

Based on the perceptions of subordinates this research suggests there are five criteria (factors) of managerial effectiveness, two being associated with managerial success and three with managerial failure.

Results from alpha factoring the self ratings of managers

This section describes, in outline only, the factors obtained by the factoring of the self-rated BIQ data as set out in Table 2. As in Table 1, an indication is given as to the number of behavioural items (BIs) loaded onto each factor and the range of the respective factor loadings (FLs).

Table 1 Alpha factorial solution from the bottom-up ratings of managers

Positive Behaviours

Factor 1: Organization, planning & support
This factor is concerned with being well organized, efficient and effective; being good at planning; thinking ahead and developing long-term plans; and is also about supporting staff. The factor, which has an eigenvalue of 18.3, explains 69 per cent of the variance

- When faced with urgent problems, is good at making decisions, following them through and keeping promises (0.794)
- Runs meetings efficiently and effectively (0.791)
- Develops a long-term department strategy and plan which provides clarity and purpose (0.786)
- Gives support to staff in developing their careers (0.768)
- Thinks ahead and makes sure things are done in good time and prepares well (0.752)
- Takes control of difficult situations and deals with them quickly and appropriately (0.631)

(BIs: 6 FLs: 0.794–0.631)

Factor 2: Open & personal management style
This factor is about developing trust, listening, being open to staff and adopting a personal approach. The factor, which has an eigenvalue of 1.3, explains 4 per cent of the variance.

- Gives time to listen to staff with problems or worries relative to work or personal issues (0.858)
- Is approachable and makes themselves readily available to staff (0.828)
- Develops a sense of trust with staff (0.790)
- Keeps staff and colleagues regularly informed and up to date on what is happening and on matters directly affecting them (0.780)
- Deals with difficult and personal issues with sensitivity (0.779)
- Gives staff the freedom/support to perform their own work in the way they see fit within their area (0.716)

(BIs: 6 FLs: 0.858–0.716)

Negative Behaviours

Factor 1: Undermining and dictatorial/autocratic behaviour
This factor comprises two main strands, namely undermining behaviour and dictatorial/autocratic managerial style which indicates a lack of concern or consideration for staff and/or colleagues. The factor, which has an eigenvalue of 15.4, explains 61per cent of the variance.

- Engages in bullying and humiliates staff (0.819)
- Undermines or dismisses the efforts of staff (0.750)
- Exhibits manipulative, politicking and undermining behaviour (0.727)
- During meetings makes

Factor 2: Avoidance behaviour
This factor, which is to do with avoidance behaviour, has two strands. One concerns the ignoring of rules, policies, procedures and problems and the other concerns avoiding responsibilities and giving sufficient time to things. The factor, which has an eigenvalue of 1.7, explains 7 per cent of the variance.

- Refuses to recognize problems or deadlines and avoids making decisions or taking necessary action (0.805)
- When in meetings tends to parade and overemphasize the negative views rather than the positive (0.790)
- Gives insufficient time to and/or is insufficiently

Factor 3: Failing to inform other people
This factor is primarily about failing to keep people informed, of not being open and forthright in communications and not obtaining necessary information. The factor, which has an eigenvalue of 1.4, explains 5 per cent of the variance

- Neglects to inform own and/or other staff of things that are going to happen (0.866)
- Fails to inform or notify the right people at the right time (0.832)
- Takes action before obtaining or checking the necessary information (0.682)

continued . . .

inappropriately offhand remarks or inappropriately voices disagreements in public (0.708) • Overrides colleague managers, goes behind the back or over the heads of other managers (0.677) • Refuses to admit to his/her own mistakes or errors in judgement (0.629) • Fails to fully understand the problems with the department/unit or the complexities of situations at ground level (0.590) • Forces or imposes change upon people without consultation and collaboration (0.579) • Is inconsistent or is unfair in their dealings with people (0.558) (BIs: 9 FLs: 0.819–0.558)	organized when handling paperwork (0.776) • Avoids or abdicates his/her responsibilities (0.704) • Ignores hospital policy/rules and attempts to bypass the system (0.644) • Fails to follow correct/appropriate procedures (0.582) (BIs: 6 FLs: 0.805—0.582)	• Fails to be honest, forthright and upfront in their communications and dealings with people (0.616) (BIs: 4 FLs: 0.866—0.616)

Based on the self-perceptions of managers, this research suggests there are eight criteria (factors) of managerial effectiveness, four being associated with managerial success and four with failure.

Results from factoring the top-down ratings of managers

This section outlines the factors obtained from the top-down data.

The results of the alpha factoring of the positive data based on the top-down perceptions of superiors suggest there are four criteria of managerial effectiveness associated with management success. As mentioned above, a statistically stable solution could not be obtained from alpha factoring the negative data. However, by applying the principal component analysis method, both positive and negative factorial solutions were obtained as outlined in Table 4.

Based on the perceptions of superiors the principal component solution suggests there are eight criteria (factors) of managerial effectiveness, three being associated with management success and five with failure.

As can be seen by comparing and contrasting the positive alpha and principal component factorial solutions, there is a high degree of similarity in the two sets of extracted factors both in terms of the factorial labels and the specific behaviours underpinning the respective factors. This being the case, for the comparative analysis discussed in the following section, it has been considered both sound and appropriate to use this stable negative principal component solution in place of the unobtainable alpha solution.

Table 2 Alpha factorial solution from the self ratings of managers

Positive Behaviours			
Factor 1: Active supportive leadership This factor is predominantly to do with being approachable, developing trust, handling difficult and personal issues with sensitivity and taking action to help and support staff. The factor, which has an eigenvalue of 14.3, explains 54 per cent of the variance. (BIs: 7 FLs: 0.758–0.522)	*Factor 2: Inclusive decision making* This factor is concerned with involving staff in decision making, listening to their ideas, canvassing opinions and empowering them to make their own decisions. The factor, which has an eigenvalue of 1.8, explains 5 per cent of the variance. (BIs: 5 FLs: 0.701–O.526)	*Factor 3: Organization and planning* This factor is primarily concerned with being well organized, efficient and effective and also being good at planning, thinking ahead and developing long-term plans. The factor, which has an eigenvalue of 1.4, explains 4 per cent of the variance. (BIs: 5 FLs: 0.792–0.511)	*Factor 4: Looking after the interests and needs of staff* This factor is about showing concern for individuals by giving them support for their personal or career development, by effective delegation, by taking a personal interest and by giving praise. It is also about monitoring the collective needs of staff and their department. This factor, which has an eigenvalue of 1.1, explains 3 per cent of the variance. (BIs: 6 FLs: 0.709–0.533)
Negative Behaviours			
Factor 1: Dictatorial/autocratic management and negative approach Overall this factor is concerned with a general lack of concern or consideration for other people. Behaviours reflecting bullying and a threatening manner were key to this factor, which has an eigenvalue of 13.9 and explains 54 per cent of the variance. (BIs: 7 FLs: 0.848–0.617)	*Factor 2: Not informing people and exhibiting poor organization* Essentially this factor is about failing to inform, notify and instruct people. However, items were also related to poor organization and prioritization. The factor, which has an eigenvalue of 2.2, explains 8 per cent of the variance. (BIs: 6 FLs: 0.693–0.436)	*Factor 3: Ignoring and avoidance behaviour* This factor is about avoidance behaviour such as ignoring policies, rules and procedures, bypassing systems and hiding from one's own mistakes. It has an eigenvalue of 1.4 and explains 4 per cent of the variance. (BIs: 5 FLs: 0.739–0.554)	*Factor 4: Self-serving or uncaring management* This factor is essentially concerned with achieving one's own aims and interests through manipulation and politicking, and at the expense of other people. The factor, which has an eigenvalue of 1.0, explains 3 per cent of the variance. (BIs: 3 FLs: 0.772–0.513)

Table 3 Alpha factorial solution from the top-down ratings of managers

Positive Behaviours			
Factor 1: Planning and organization /giving support to staff This factor has two strands, one concerned with being well prepared, well organized and efficient; with thinking ahead, and ensuring things are done in good time. The other strand concerns giving physical and emotional help and support to staff. The factor, which has an eigenvalue of 16.3, explains 64 per cent of the variance (BIs: 7 FLs: 0.763—0.485)	*Factor 2: Inclusive decision making and personal approach* This factor is primarily concerned with effective decision making where the manager uses his/her resources well to aid in the process, gathers and assesses all the relevant facts, listens to the ideas of staff, develops a sense of trust and adopts a personal approach The factor, which has an eigenvalue of 1.7, explains 6 per cent of the variance. (BIs: 5 FLs: 0.858—0.581)	*Factor 3: Empowerment and delegation* This factor is concerned with encouraging staff to work through their own problems, giving them the freedom and discretion to make their own decisions or be involved in decision making, and to delegate proactively. The factor, which has an eigenvalue of 1.3, explains 4 per cent of the variance (BIs: 4 FLs: 0.774—0.511)	*Factor 4: Informing people* This factor is wholly concerned with keeping people regularly informed and up to date. The factor, which has an eigenvalue of 1.0, explains 3 per cent of the variance. (BIs: 1 FLs: 0.700)

Table 4 Principal component analysis factorial solutions from the top-down ratings of managers

Positive Behaviours

Factor 1: Organisation & planning/ proactive, and supportive leadership This factor is loaded with two distinctive strands of managerial behaviour. One comprises seven behavioural items all concerned with effective organization and planning (BIs: 7 FLs: 0.94–0.720) The other strand also comprises seven behavioural items and these all relate to different facets of a proactive, supportive and personal approach to management and leadership. The factor, which has an eigenvalue of 16.4, explains 66 per cent of the variance (BIs: 7 FLs: 0.863–0.617)	*Factor 2: Empowers staff and delegates effectively* This factor is about managers encouraging staff to resolve their own problems, giving them the freedom to work in ways they see fit, involving them in decision making and being proactive and effective in delegation The factor, which has an eigenvalue of 1.7, explains 7 per cent of the variance. (BIs: 4 FLs: 0.879–0.595)	*Factor 3: Informing people* This factor is wholly concerned with keeping people regularly informed and up to date. The factor, which has an eigenvalue of 1.3, explains 5 per cent of the variance (BIs: 1 FLs: 0.908)

Negative Behaviours

Factor 1: Ignoring & avoiding behaviour/ intimidating staff This factor is predominantly concerned with ignoring and avoidance behaviour such as ignoring policies and rules; failing to follow correct procedures; not being open, honest and forthright in communications; avoiding responsibilities; and refusing to admit to own mistakes. It is also to do with bullying, humiliating and threatening behaviours. The factor, which has an eigenvalue of 16.1, accounts for 62 per cent of the variance. (BIs: 8 FLs: 0.876–0.724)	*Factor 2: Uncaring, self-serving management focus/undermining of others* This 'factor' comprises managerial behaviours that are, for example, concerned with being inconsistent, unfair, non-supportive, undermining and dismissive of other people and their efforts, and also manipulative or politicking in nature. The factor, which has an eigenvalue of 2.2, explains 9 per cent of the variance. (BIs: 4 FLs: 0.855–0.587)	*Factor 3: Inadequate flow and use of information* The factor is essentially about failing to inform, notify or instruct staff and not discussing matters with them. It is also about not obtaining or checking information prior to action. The factor, which has an eigenvalue of 1.6, accounts for 6 per cent of the variance (BIs: 6 FLs: 0.872–0.355)	*Factor 4: Lack of concern for staff* This factor is about placing unrealistic workloads and pressures on staff and forcing or imposing changes without consultation. The factor, which has an eigenvalue of 1.4, explains 5 per cent of the variance. (BIs: 2 FLs: 0.888–0.789)	*Factor 5: Abdicating from roles and responsibilities* The three behaviours loaded on to this factor are all concerned with different kinds of abdicating from roles, responsibilities and what needs to be done. The factor, which has an eigenvalue of 1.1, accounts for 4 per cent of the variance. (BIs: 3 FLs: 0.837–0.617)

Result of comparing the bottom-up, self and top-down factorial solutions

A comparison of the positive criteria (factors) of managerial effectiveness obtained from factoring the respective bottom-up, self and top-down rated BIQ data sets reveals high degrees of coincidence, sameness and similarity of meaning. As can be seen in Table 5, the judgments and perceptions of managers concerning what constitutes managerial effectiveness and ineffectiveness, and those of their superiors and subordinates, appear to have much in common. Of the ten positive criteria obtained overall, only three were specific to one perspective. These were as follows: 'Looking after the interests and needs of staff', which managers themselves perceived as a key criterion contributing to their own effectiveness, and 'Empowerment and delegation' and 'Informing people', which were two of the five positive criteria identified from the perceptions of superiors. A comparison of the negative factors across all three data sets also reveals a high degree

Table 5 Comparison of the bottom-up, self and top-down rated criteria of managerial effectiveness

Factor	Bottom-up rated	Factor	Self-rated	Factor	Top-down rated
Positive Factors					
1	Organization planning & supporting	1	Active supportive leadership	1	Planning and organization/giving support to staff
2	Open & personal management style	2	Inclusive decision making	2	Inclusive decision making and personal approach
		3	Organization & planning	3	Empowerment and delegation
		4	Looking after the interests and needs of staff	4	Informing people
Negative Factors					
Factor	*Bottom-up rated*	*Factor*	*Self rated*	*Factor*	*Top-down rated*
1	Undermining and dictatorial/ autocratic behaviour	1	Dictatorial/autocratic management and negative approach	1	Ignoring & avoiding behaviour/ intimidating staff
2	Avoidance (ignoring) behaviour	2	Not informing people/ exhibiting poor organization	2	Uncaring, self-serving management focus/ undermining of others
3	Failing to inform other people	3	Avoidance (ignoring) behaviour	3	Not giving, receiving or using information
		4	Self-serving & uncaring management	4	Lack of concern for staff
				5	Abdicating from roles and responsibilities

Table 6 Criteria of managerial effectiveness in the NHS Trust Hospital

Positive criteria	*Negative criteria*
Organization and planning	Dictatorial/autocratic management
Active supportive leadership	Intimidating staff
Giving support to staff	Negative approach
Open and personal management approach or style	Undermining of others
Inclusive decision making	Avoidance and ignoring behaviour
Looking after the interests and needs of staff	Failing to inform other people
Empowerment & delegation	Not giving, receiving or using information
Informing people	Exhibiting poor organization
	Self-serving and uncaring management
	Lack of concern for staff
	Abdicating roles and responsibilities

of similarity and coincidence. Two of the five top-down rated criteria, namely 'Lack of concern for staff ' and 'Abdicating from roles and responsibilities', appear to be completely perspective-specific, as do two strands of two of the self-rated criteria, namely 'Negative approach' and 'Exhibiting poor organization'.

The comparison suggests the criteria of managerial effectiveness in the case-study NHS Trust Hospital are as given in Table 6.

Discussion

NHS Trust Hospital research on managerial effectiveness

As can be inferred from the comparison outlined in the previous section, a high degree of coincidence and similarity exists between the identified criteria (factors) of managerial effectiveness. These results lend limited support to the findings of other researchers who report that superiors often appreciate and value different behaviours to those of subordinates (Atwater and Yammarino 1992); that subordinates believe proactive managerial behaviour such as initiative less important than do supervisors (Foti 1990); and that subordinates, supervisors, peers and self-perceptions often differ in their judgements (Van Der Velde *et al.* 1999): in other words, that managerial effectiveness is mainly perspective-specific. In contrast the present study suggests there is a strong common judgement between what managers and subordinates respectively perceive as effective and ineffective managerial behaviour.

Comparison with the HM Customs & Excise research on managerial effectiveness

To determine whether or not the NHS Trust Hospital criteria of managerial effectiveness are organization-specific or universal, a comparison was made with criteria from a previous near-identical empirical research study carried out through an HRD Professional Partnership between the Anglia Collection of HM Customs & Excise

(HMCE), a major department of the British Civil Service, and the University of Wolverhampton (Hamlin *et al.* 1998b). This HRD Professional Partnership came about as a result of the then Chief Executive Officer, Dick Shepherd, wanting a deeper understanding of the management culture of his organization, which he was attempting to make more relevant and 'in fit' with the changing organizational requirements. Although he was aware of the desirable and undesirable managerial behaviours exhibited by his managers, as revealed by a commissioned internal ethnographic longitudinal research study of the organizational culture carried out by Margaret Reidy, his internal research officer, he felt it would be useful to have additional evidence before taking action. He wanted to be convinced as to those behaviours that were, in fact, particularly effective for managing successfully within the changed organization, which needed to be encouraged and promoted, and also those that were ineffective and damaging, which needed to be eliminated. He wanted to do what Leigh (1996) suggests good OD consultants do, namely, 'hold up a mirror to managers to help them decide how to make meaningful change'. The HRD Professional Partnership comprised Dick Shepherd and Margaret Reidy as the HRD/OCD practitioners, and two HRD/OCD scholars, namely Bob Hamlin from the University of Wolverhampton and Jim Stewart from Nottingham Trent University. Using a research design adapted from the one used by Hamlin (1988) for researching managerial effectiveness within UK secondary schools, which had been based on CIT and factor analytic methods, Margaret Reidy and Bob Hamlin carried out a similar study within the Anglia Collection. The vast majority of the Stage 1 CIT fieldwork was conducted by Margaret Reidy, but Stages 2 and 3 were done jointly. In creating a BIQ the findings from Margaret Reidy's earlier ethnographic longitudinal research into the organizational culture were used to elicit and verify the true meaning of the critical incidents. The BIQ was administered widely throughout the organization and the resulting data factor analysed and interpreted. The findings from various stages of the research study were then used by Dick Shepherd, with the help of Margaret Reidy acting in her OD consulting role, to inform, shape and evaluate various OD interventions and management culture change initiatives (see Hamlin and Reidy 1997; Hamlin *et al.* 1999). The research focused upon the management task of middle (Higher Executive Officers – HEOs) and first-line managers (Executive Officers – EOs) who had within their respective roles significant amounts of responsibility for managing people. In the Anglia study over 130 managers in HEO and EO roles were interviewed, and over 1,200 critical incidents collected to create the BIQ, which comprised eighty-three discrete behavioural items. This was administered to the HEOs and EOs, who were required not only to rate their immediate subordinates (top-down rated) but also themselves (self-rated). Neither they, nor the non-managers who had taken part in the research, were asked to rate their immediate superiors (bottom-up rating) as had been the case in the NHS Trust Hospital research programme. The two sets of data from the BIQ rating exercise were factor analysed using alpha factoring with varimax rotation and Kaiser normalization. Both positive and negative factors were extracted as shown in Table 7.

It can be seen that there are strong similarities between the findings of the two studies, particularly between the sets of positive criteria. A detailed comparison of the self-rated criteria, including the behavioural underpinning of each criterion, reveals a very high degree of coincidence, as can be inferred from the descriptive labels ascribed to the criteria given in Table 8. A comparison of the specific managerial behaviours

Table 7 Criteria of managerial effectiveness applying within HMCE: Anglia Collection

Positive Criteria

Top-down rated data (N=65)	*Self-rated data* (N=84)
1. Active supportive leadership	1. Empowering/communicating wide
2. Team orientation	2. Supportive/participative leadership
3. Proactive management	3. Proactive team leadership
4. Effective delegation/empowerment	4. Active development of others *(Training/coaching/mentoring)*
5. Developing others *(Training/coaching/mentoring)*	5. Proactive management
	6. Managing change

Negative Criteria

Top-down rated data (N=65)	*Self-rated data* (N=84)
1. Uncaring, self-serving, management focus	1. Exhibiting gradist behaviour
2. Tolerance of poor performance/low	2. Autocratic/dictatorial management *(Lack of concern/consideration for others)*
3. Lack of emotional control/adjustment	3. Narrow/parochial behaviour
4. Resistance to change and abdicating responsibilities	4. Manipulative behaviour
5. Autocratic/dictatorial management *(Lack of concern/consideration for staff)*	5. Lack of emotional control *(Manifesting extreme irrational behaviour)*
6. Depriving individuals of recognition, reward and developmental opportunities	6. Irrational management *(Disorganized, political)*
	7. Ignoring/overriding needs of individuals and organisations
	8. Entrenched management thinking
	9. Depriving individuals of support and developmental opportunities
	10. Being deliberately obstructive
	11. Passing the buck/inconsiderate to other teams
	12. Uncaring management

comprising each of these NHS and Anglia criteria reveals that many are closely similar or virtually the same.

The only criteria not in both sets of data are 'managing change', which is one of the six positive criteria applying within the Anglia Collection of HMCE, and 'not informing people', which is one of the six negative criteria applying within the NHS Trust Hospital.

A strong similarity and coincidence also occurs between the top-down rated criteria, as can be seen in Table 9, though more so in terms of the negative criteria than the positive. From these results, it appears that top managers in both organizations perceived 'proactive management and leadership', including effective planning and organization, and 'delegation and empowerment' and 'giving support to staff' as key determinants of managerial effectiveness. Whereas the top-down raters in the Anglia study, of whom many were top managers, identified team orientation as a further key criterion of managerial effectiveness, the top-down raters in the NHS Trust study identified three additional criteria, namely 'inclusive decision making', 'personal approach to managing' and 'informing people'.

Of the seven negative criteria identified within the NHS Trust study, five are virtually the same in terms of behavioural content and meaning as six of the seven negative criteria from the Anglia study. The two other negative criteria from the NHS Trust study

Table 8 Comparison of the NHS Trust Hospital and Anglia HMCE criteria

NHS Trust Hospital criteria	*HM Customs & Excise criteria*
Positive	*Positive*
Active supportive leadership	Supportive/participative leadership Proactive team leadership
Inclusive decision making	Empowering/communicating widely
Organization and planning	Proactive management
Looking after the interests/needs of staff	Active development of others
	Managing change
Negative	*Negative*
Dictatorial/autocratic management	Autocratic/dictatorial management
Negative approach	Being deliberatively obstructive Entrenched management thinking
Not informing people	
Exhibiting poor organization	Irrational management *(Disorganized//political)*
Avoidance/ignoring behaviour	Ignoring Overriding needs of individuals and organization
Self-serving/uncaring management	Uncaring management Inconsiderate of other teams/passing the buck Narrow parochial behaviour

could be considered as being organization-specific, particularly bearing in mind the fact that 'ignoring and avoiding behaviour' and 'not giving, receiving or using information' would most likely be perceived to be serious acts of managerial ineffectiveness within the setting of an acute hospital. Although the negative criterion from the Anglia study – 'resistance to change' – appears also to be organization-specific, it should be noted that 'resistance to change versus active innovative management' was one of seven universal criteria of managerial effectiveness resulting from the similar and comparable empirical study carried out several years earlier by the author in UK secondary schools (Hamlin 1988). The above comparison suggests most of the criteria of managerial effectiveness emerging from both the NHS Trust and Anglia studies are potentially generalizable.

Limitations of the NHS Trust study

For factor analysis to be applied successfully a researcher needs to administer and obtain at least as many completed questionnaires as the number of items comprising the questionnaire. However, according to some experts such as Comrey (1973), three to

Table 9 Comparison of the top-down criteria from the NHS Trust and Anglia HMCE studies

NHS Trust Hospital criteria	*HM Customs & Excise criteria*
Positive	*Positive*
Planning and organization	Proactive management *(includes being proactive in planning and organizing)*
Giving support to staff	Active supportive leadership Developing others
Inclusive decision making	
Personal approach	
Empowerment and delegation	Effective delegation and empowerment
Informing people	
	Team orientation
Negative	*Negative*
Ignoring and avoiding behaviour	
Intimidating staff	Lack of emotional control/adjustment
Uncaring, self-serving management focus	Uncaring, self-serving management focus
Undermining others	Depriving individuals of recognition, reward and developmental opportunities
Not giving, receiving or using information	
Lack of concern for staff	Autocratic/dictatorial management *(lack of concern/consideration for staff)*
Abdicating from roles and responsibilities	Abdicating responsibilities Tolerance of poor performance/low standards
	Resistance to change

four times as many should be obtained. Although in the present study the number of BIQs completed and returned for the bottom-up, self and top-down rated data sets exceeded the respective number of positive and negative items comprising the BIQ, this might be considered by some researchers as insufficient. For future studies larger numbers of BIQs should be obtained to achieve more robust factorial solutions.

A second limitation is that the study was undertaken in a single NHS Trust hospital. Therefore, the criteria of managerial effectiveness identified cannot be regarded categorically as being generalizable to any population of healthcare managers beyond those in the study. However, the high degree of similarity and coincidence between the NHS Trust and Anglia research findings is a sign that most of the criteria are likely to be universal and potentially generalizable.

A further limitation regarding the generalizability of the results has been the general lack of identical or near equivalent empirical case studies in other organizations and other sectors within the UK against which to compare the findings directly. A next step would be to conduct a range of replica studies so as to further generalize the present findings.

Conclusions

Over the past two decades there has been considerable debate and controversy within the UK concerning the existence of the 'universally effective manager', as identified and discussed by Bennett and Langford (1983). Some believe that a set of universally applicable management competence criteria, independent of function and organizational context, can be derived (Training Agency 1988). Others argue that this approach is misconceived and a universal mechanism is inappropriate (Herriot 1988; Smith *et al.* 1989, Jacobs 1989; Hamlin and Stewart 1998). This view is supported by Flanagan and Spurgeon (1996) who suggest that managerial effectiveness is a subjective concept contingent upon factors within each organization and that managerial competencies are organization-specific. However, the factorial results from the present study, which bear strong similarities with the Anglia results, challenge the above views and question the 'contingent' model of managerial effectiveness adopted by Flanagan and Spurgeon (1996). The findings point instead towards the existence of universal criteria of managerial effectiveness. Furthermore, although the results lend some support to Tsui and Ashford (1994), Tsui *et al.* (1995); Van Der Velde *et al.* (1999) and Shipper (2000), who claim managerial effectiveness is perspective-specific, the high degree of similarity and coincidence between the three different perspectives revealed by the NHS Trust study challenge this view. The study suggests, rather, that managers' and non-managers' perceptions and judgements concerning managerial effectiveness are predominantly universal. Additionally, the high degree of similarity and coincidence found between the NHS Trust and Anglia data at both the factorial and behavioural level suggests the results are potentially generalizable. This supports the notion of the 'universally effective manager' applying across organizational boundaries, at least within certain parts of the UK public sector.

In addition, the universal and generalizable characteristics of the NHS Trust and Anglia results suggest these generalized findings could be used as an empirical base in support of evidence-based management and research-informed HRD practice, not only within the particular organizational settings of the two case-study organizations, but also within other NHS Trust hospitals, other HM Customs & Excise executive units and possibly beyond.

Finally, the author considers both the NHS Trust and Anglia studies to be examples of 'practitioner and practice-grounded management research' of the kind recently called for by the American Academy of Management (2001). As already mentioned, this call was in response to 'increasing concerns regarding traditional academic research that is increasingly being criticized for being too narrow, method driven, not responsive to real organizational needs, or simply irrelevant'. In both of the studies compared in this article, the HRD Professional Partnership arrangements provided the climate for producing robust, rigorous and relevant internal research targeted specifically towards meeting strategic organizational needs, as well as the academic goals of the respective HRD scholars working in professional partnership with the HRD practitioners. As such the studies are good examples of partnership research of the kind defined by Jacobs (1997), and could be regarded as examples in practice of the scientist-practitioner model offered by Brewerton and Millward (2001). Furthermore, the resulting research findings have been used extensively as an empirical base in support of research-informed HRD initiatives and evidence-based management within HM Customs & Excise, as reported elsewhere (see Hamlin and Reidy 1997; Hamlin *et al.* 1998b, 1999). To date the NHS Trust Hospital research has been used to a limited extent only, one example being its application as a tool for evaluating the effectiveness of managers during a period of organizational transition and change within one part of the hospital (Bayley 2001). In light of his experience as an HRD scholar and partner within both of the HRD Professional Partnerships outlined above, the author strongly commends such partnerships to other HRD scholars, HRD practitioners and HR professionals who wish or need to use internal practice-grounded research to inform, shape and evaluate their HRD/HR practice.

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SECTION 2: TESTIMONIAL EVIDENCE

2.1 THE DICK SHEPHERD TESTIMONIAL STATEMENT

Using Partnership Research to Manage Change

I was the Collector Anglia from 1991 to 1998-the Head of the Executive Unit (Collection) of HM Customs and Excise accountable to the Board of Customs and Excise for achieving operational targets within the Region. I had an annual budget of around £30 million. My 1300 staff were dispersed in some 18 locations-the majority working in VAT (40%) and Customs (36%) and the remainder on Excise and other indirect taxes, Intelligence, Investigation and Corporate Services.

Each year my operational targets were increased and my budget was squeezed so that I was always searching for ways to maintain or increase the year on year improvement in the outputs being achieved. The staff was recruited on the basis of good academic results from school or university and covered the full working age range. They expected to stay in the Department but quite a few did move from one discipline to another. Their managers had been promoted on the basis of technical competence, operational achievement and years of experience. The Department still clung to the disciplined approach inherited from its "uniformed service" origins. We were all trained to work within the laws and regulations given to us by Parliament and we had all opted for a career in the Civil Service rather than in the private sector.

To cope with the demands for ever-increasing outputs and for more openness in our dealings with the public I needed to change the culture of the organisation. I used group seminars, walking the floor, publishing my "Expectations" document and was making progress and lifting outputs. But I felt that I did not really know how deep the changes were penetrating—there was always an element of telling me what I wanted to hear in the feedback I was receiving.

It was at this stage in 1995 I commissioned the Critical Incident/Factor Analytic Research from Bob Hamlin at Wolverhampton University, (*supported by*) Jim Stewart of Nottingham Trent (*University*) and Margaret Reidy of Nottingham Trent and HM Customs and Excise. My initial hope was to find the patterns of strengths and weaknesses among the managers and team leaders.

The Questionnaire *(BIQ)* that was developed was unique in that it was a tool purely directed at our own organisation--custom made for Customs people. The results exceeded my expectations for I felt I was getting the real behaviours and attitudes prevalent in all the various parts of the organisation for the first time.

The nature of the research produced the results in the language of the Department and illustrated them with (*critical*) incidents taken from our own activities. I was able to use the emerging results very quickly at my annual management conference where it made a big impact. This was no consultant's abstract interpretation using the latest business management technique. This was real. This was us. I had a profile of the attitudes and behaviours in the organisation for the first time based on fact rather than intuition.

Managers were also able to use the findings at team meeting events to promote openness and the concept of continuous improvement. Again it was the reality of the (*research*) findings that made the impact with people and helped them to adjust attitudes and to cope with the enormous changes that were happening.

A key factor right through this whole process was the close partnership between me and the research team. The clear understanding was that the research should be carried out independently with rigour and integrity to as high an academic quality as was necessary to provide provable results. My part was to commission it, facilitate its freedom in its operation and ensure that the questionnaire tool and results were directly related to the working life and language of the Department. In fact the research team went on to develop a set of (*management*) competencies that we were able to use in our local appraisal system to improve managerial effectiveness. They also developed specifically targeted Team Building and managerial Effectiveness Workshops.

I owe a great debt of gratitude to my Researcher (*Margaret Reidy*) and her academic backers for their application of the techniques and tools in such a novel partnership approach. The results exceeded all my expectations—and were delivered within the time and costing targets

R.C.Shepherd **Date: 21st May 2002**

2.2 THE MARGARET REIDY TESTIMONIAL STATEMENT

Managerial Effectiveness Research in HM Customs and Excise from 1994 onwards.

Margaret Reidy; Research Officer (*and OD Consultant*), HM Customs and Excise and MPhil/PhD student at Nottingham Trent University, has been pleased to have worked in partnership with Bob Hamlin; Wolverhampton Business School, Wolverhampton University on an ongoing basis since 1994. The partnership is remarkable in that it has tied in long term with a parallel programme of doctoral ethnographic longitudinal qualitative research into cultural change commenced by Margaret Reidy in 1993. The two strands of research have produced rigorous and highly rich data of a high and invaluable standard. These have been a tremendous asset mainly in the [former] Anglia region, [now part of the larger Central England Region], of HM Customs and Excise.

The research was commissioned by Dick Shepherd who was the Collector of the East Anglia Next Steps Unit from 1991 to 1998. Chris Page, the Head of the Training Development Unit, had been aware of Bob Hamlin's sterling work on 'critical incident' managerial effectiveness research based in UK secondary schools and introduced him to Dick Shepherd and Shepherd's Research Officer, Margaret Reidy. This was to prove a fortuitous meeting for the Unit, paving the way as it did for considered, measured and invaluable changes in the organisation.

To explain exactly why Hamlin's research was so fortuitous for the organisation the following brief notes outline some of the background.

HM Customs and Excise at that time had already been undergoing what could be seen as continuous change, more so than many other Government Departments. Like many large private sector organisations it was faced by several major reviews in quick succession. The changes happened also to accelerate in pace over the coming years, leaving people having to set up new initiatives before the preceding ones had barely been implemented. From her research Reidy had many questions which needed answering. Hard answers for hard questions were required to get to grips with understanding the exact nature of the impact and consequences of the changes on the organisation. How did the people actually cope with cataclysmic change? What lessons could be learnt from one set of changes to the next that might help us measure and substantiate the impact so we could at least in part predict how people might cope with further changes? How could we effectively support people through cultural change? For instance, coping with knowing that some of the changes meant losing for good some of the working practices that they held in high esteem.

Such in-depth measures for seeking answers to these types of questions had not been taken prior to this, and yet they were vital for the understanding of organisational and cultural change. Dick Shepherd's remit and requirement was in essence to have a greater understanding of the strengths and weakness of his managers, front-line officers, and staff in general. These were just some of the questions facing both Hamlin and Reidy in the two strands of research.

Several internal and external surveys had been conducted during the preceding years, both national and local. However, Shepherd found that these on the whole failed to come up with a tangible set of answers that he could effectively use in his role of guiding his organisation through the programme of strategic change now confronting it. Reidy's longitudinal research on cultural change was mainly focused on organisational behaviour, whereas Hamlin's critical incident and factor analytic managerial effectiveness research was focused on managerial behaviour. Together both strands of research provided a system of triangulation that resulted in findings unparalleled in the history of the organisation. Both strands were capable of standing on their own as being highly valuable, and could in effect on their own meet and satisfy much of what was required against the internal research success criteria. However, within a short space of time, it became clear that what was coming out of the two separate but coordinated research programmes was far greater than either researcher had hoped for. The outcomes also exceeded the sponsor's (*Shepherds's*) expectations. Hamlin had closely listened to the organisation's stated needs, and with his internal research partner (*Margaret Reidy*), had adapted his critical incident research methodologies and tools to suit the requirements. The data as resulted was so rich that it's preliminary findings were immediately and effectively used by Dick Shepherd and Margaret Reidy to inform and shape a number of OCD/HRD interventions for managing the (*organisational*) change, including workshops and local initiatives. This was unusual, but the unique triangulation between the two strands of research showed where one set of findings substantiated the other, particularly at the critical incident phase of the managerial effectiveness research study. This led to extremely robust and ready to use sets of findings even at this preliminary stage of the research. The data, resulting from the finalised questionnaire (*BIQ*) which came later (*in the managerial effectiveness study*), opened up a whole new set of possibilities and opportunities for the organisation to take the work being done on cultural change to other higher levels. The preliminary findings, for instance, helped people to assess their behaviours and attitudes in newer and more in-depth ways. This was invaluable to the everyday work of the organisation as managers could effectively identify and curtail or harness those attitudes and behaviours (*associated with ineffective or effective management respectively*). This was achieved with the support of tools developed from the (*managerial effectiveness*) research findings to improve the rapidly transforming organisation. The finalised data took this further. For instance, as a direct result of the managerial effectiveness research, a new set of behavioural management competencies were developed exclusively for the organisation. Prior to this, bought in management consultancy, and even other internal 'research', had been prone to using elements from surveys developed for different organisations, and sometimes, even traces of work from several other organisations could be recognised. While this was understandable in many ways considering how organisational needs and organisational behaviours were often capable of being generalised, these approaches had not been effective in achieving an in depth understanding of the organisation. It was quite clear from these earlier 'research studies' conducted in Anglia that for the future a far greater, more rigorous and robust research effort was vital to finally getting to grips with the underlying patterns of behaviour in a complex organisation, an organisation whose early roots dated back to the 12th century and even earlier.

Using the techniques and findings from the qualitative ethnographic longitudinal research on cultural change, and the critical incident/factor analytic managerial effectiveness research, complex problems that had plagued the organisation for decades were finally identified. This was possible through being able to examine the patterns and emerging patterns of behaviours in measurable terms. This may sound complicated for an organisation to deal with, but the research findings as presented were in real terms (*that could readily be seen*) to deal with real work issues, and were capable of seamless implementation through the resulting initiatives (*OCD/HRD interventions*).

On a more in-depth level, through Hamlin's 'critical incident' research and Reidy's 'ethnographic longitudinal' research, we were able to find and unlock the keys to the roots of some of the deep-seated organisational problems. For instance, some of the issues that often were thought to be based in history turned out to have more to do with current behaviours and attitudes. The front-line officers who often were slow to embrace change stated that they believed that the loyalty [of being engaged in law enforcement and being for the Queen and Country etc.] they had always shown in the job was being undermined by the changes. They were concerned that the changes being introduced would hamper their effectiveness, and that there were very good reasons for doing the job the way they had always done it. On closer examination through the research, it was found that for many people their loyalty was based more in bureaucracy and the built in self-protectiveness that bureaucratic systems create and throw up when change appears to threaten it. This type of finding was a breakthrough. It showed that while the answers given in interviews and questionnaires were of course to be taken into account on face value, a more in-depth analysis of what lay behind the answers was also available and capable of being substantiated (*by the research*). In such a case, the history (*of HMCE*), for example was not the critical factor. At the opposite end of the spectrum the research also revealed that HMCE history was at times very much a problem.

An example of how the two strands of research synergistically complemented each other is given as follows:-

The 'ethnographic longitudinal' research found that some of the issues that the organisation was finding it very hard to come to grips with in organisational change, and pay and grading, for instance, were very much rooted in history. The Northcote and Trevelyan report of 1854 tackled the very same issues of whether generalist amateurs were more suitable for the organisation where flexibility was needed or whether specialists were the better option. This question of course impacts greatly on pay and grading. The 'critical incident' research revealed that people were very much aware of the question, and were also aware that it was rooted in history, although not all were aware of how far back. This caused problems in many ways for the organisation. Some people said in the interviews and questionnaires, for example, that the organisation had tried to bring in these (*pay and grading*) changes before and failed or partially failed, so why should this time be any different; whereas other HMCE people embraced the changes which showed that learned behaviours can have their roots deeply embedded in the past. What was to some degree even more surprising was that these findings had wider application. Some wide spread management practices in Britain, for example, were developed in the 19th Century. Hence HM Customs and Excise was not the only organisation needing to examine the past before succeeding in changing itself for the future.

We have seen how Hamlin's and Reidy's research allowed us (*Shepherd and Reidy*) to have a multifarious look at a complex organisation (*Anglia HMCE*) which allowed us to follow the strings emanating from the core problems stretching right back to the organisation's origins. The research also enabled us to effectively employ psychology and sociology [as most ethnographic and psychometric studies do], but also social history and indeed to a certain degree organisational archaeology, in dealing with the organisation's artefacts as described. Perhaps someday, thanks to the research, we can finally put these problems to rest.

The set of management competencies resulting from Hamlin's managerial effectiveness research, with their underlying behavioural statements and findings, have enabled the development of:

- a wide range of localised practical work based organisational change and development initiatives across several regions of HMCE

- advising in some instances on the formulation of national policies of HMCE regarding cultural change, pay and grading, management standards etc.

- production of rigorous questionnaires, which can be periodically rolled out using the baseline through subsequent roll outs, to measure cultural change and other issues, and prepare for and advise future organisational change;

- managerial/leadership and team effectiveness workshops which have helped the organisation to hold up a mirror to gauge their own strengths and weaknesses, mainly through identified effective and ineffective managerial and organisational behaviours
  and attitudes;

- self assessment tools currently in the development stage; and so on.

The findings from the overall research, that were both negative and positive in terms of people's attitudes and behaviours, were accepted in a highly positive manner by the (*Anglia*) people. This was fairly unique in that they normally approached survey findings with trepidation or cynicism. The reason for acceptance was because the research had been conducted in an impartial and objective manner, and names were never used. This created, on the whole, trust between the interviewers and the interviewees and elicited interest and co-operation in the research on a wide scale. The sense of trust was enhanced by the fact that the two strands of research were being conducted under the auspices of the Wolverhampton Business School [managerial effectiveness/critical incident strand] and Nottingham Trent University [ethnographic longitudinal strand] respectively, through Hamlin and Reidy, and were not internal bodies/programmes of conventional management research. The research methods and techniques were academically robust and rigorous to a degree rarely seen in the HMCE Department. The research was conducted over a long period of time. This allowed the researchers to evaluate whether problems that at first appeared quite strongly to emanate from current changes were in fact of older origin. It helped also to explain why it was that although external management consultants had assured the organisation that the problems they had often identified through their findings would cease once whichever change initiative recommended/implemented had become embedded, they invariably continued to cause problems.

Studying those problems that had been in long-term existence, and their associated patterns and emerging patterns of behaviour, actually helped in some cases to provide a degree of prediction for future change initiatives. The research found that the culture was adapting and changing in a very real and measurable sense. This was reassuring for the management (*in particular for Dick Shepherd*) who had doubted that cultural change could be effectively measured. The research also helped to prove to management that an in depth knowledge of their organisational culture was one of the most effective tools in organisational change. It became understood that cultural change was not a 'soft issue', but an integral practical issue with very real rewards in bringing about successful organisational change.

When Bob Hamlin was approached by HM Customs and Excise he was faced with a very tough challenge comprising a wide range of questions to be answered, as well as a wide range of questions to be developed and also answered. He had to:-

- analyse a complex organisation;

- help to substantiate a separate strand of research that in turn substantiated his research

- pioneer a mutually rewarding body of research between a university and an organisation, demonstrating through groundbreaking findings that such 'partnership research' arrangements can be invaluable.

The research findings have been published nationally and internationally and have attracted wide interest. He has been approached by British, American and French organisations about his surveys, methodologies and techniques, thus further proving that the research has wider application than Anglia HMCE

The research work, and application in particular of the managerial effectiveness findings, are not yet finished within HM Customs and Excise. The wealth of research data already obtained has so far provided the material and building blocks for many OCD/HRD tools and initiatives. The research has grown and developed in itself, and further work will provide the basis for more tools.

Margaret Reidy
Research Officer
Anglia Executive Unit, HM Customs and Excise **Date June 2002**

PART III

OTHER SUPPORTING EVIDENCE

SECTION 1: CHAPTER CONTRIBUTIONS TO HRD RELATED TEXTBOOKS

Sub-Section 1.1

Statement and Discussion

on the

Author's Relative Contributions

STATEMENT AND DISCUSSION ON THE AUTHOR'S RELATIVE CONTRIBUTION

1.Contributed chapters to HRD related textbooks

a) Over the years the author has made various chapter contributions to a range of HRD related textbooks edited by other authors, most of which have been informed and shaped to a greater or lesser extent by his personal research into managerial and leadership effectiveness within UK organisations. Additionally, his research work has strongly informed and shaped his views on the role of the HRD practitioner and the increasing relevance and importance of evidence-based approaches to practice within the field of management in general and HRD in particular. This has strongly influenced his understanding of and teaching on the MSc in Human Resource Development programme offered by the University of Wolverhampton Business School, for which he is the Course Director, and has had significant impact upon many of the students who have attended the course. One of the outcomes has been the co-editing and co-authoring by the author, and two of his past MSc in HRD students, of a new textbook entitled Organisational Change and Development: A Reflective Guide for Managers, Trainers and Developers (see Hamlin, Keep and Ash, 2001). This book demonstrates, with numerous practical examples, the benefits of reflective research-informed HRD practice as revealed by the reflections in and upon the professional practice of the co-authors, and eighteen other MSc in HRD students, plus a number of nationally and internationally renowned HRD practitioners and business academics. Three of the seven chapters of the book written and co-written by the present author have been submitted as supporting evidence for this PhD by Published Work, namely Chapters 2, 3 and 11.

Chapter 2 provides a review and synthesis of context and practice that, amongst other things, draws attention to the failure of OCD programmes caused by a lack of evidence and/or research-informed change agency practice by managers, HRD practitioners and other HR professionals. A model is offered linking this concept to the key failings of managers in bringing about effective organisational change and development.

Chapter 3, which was co-authored with Dr Gron Davies, a WBS colleague, provides specific guidance to managers, trainers and developers acting as change agents. In this chapter considerable attention is given to the issue of developing strategies for change based on an in depth understanding of the organisation through good internal research. The present author's reporting of the research outcomes and personal experience of the Anglia study in the journal literature has been used as strong evidence in support of the arguments made in this chapter.

Chapter 11 is an integrative piece of writing that reveals the collective insights and lessons that can be learned from the reflections on change agency practice offered by the various contributors to the book. One of the most significant findings from the analysis of the reflections on practice is the emphasis and importance placed on the value of conducting internal research as part of the change agency process. This evidence clearly demonstrates the practical importance of academically rigorous internal/in-company research in the field of organisational change and development, and supports the author's advocacy of evidence-based and research-informed approaches to HRD practice. His definitions of 'Evidence-based and Research-informed HRD Practice', and his 'Bridging the HRD Research-Practice Gap Model' are also explained and discussed

b) The insights and lessons learned from the analysis of the reflective change agency case histories offered by his past MSc in HRD students as revealed in Hamlin, Keep and Ash (2001), and discussed by Hamlin (2001d), have been brought to the attention of a wider readership through his chapter entitled 'Towards Evidence-based HRD Practice' contributed to the recently published textbook by McGoldrick, Stewart and Watson (2002). This chapter has made a distinctive and original contribution to the field of knowledge associated with HRD practice.

2. The Co-Authored Chapter

As mentioned, Chapter 3 of the Hamlin, Keep and Ash (2001) textbook was co-authored with Dr Gron Davies. It has been discussed and mutually agreed that the relative contribution of Gron Davies to the jointly authored chapter was 30%, and Bob Hamlin 70%. A signed letter to this effect has been presented to the University of Wolverhampton

SECTION 1: CHAPTER CONTRIBUTIONS TO HRD RELATED TEXTBOOKS

Sub-Section 1.2

TEXTBOOK

Organisational Change and Development
A Reflective Guide for Managers, Trainers and Developers
by
Bob Hamlin, Jane Keep and Ken Ash

Chapters 2, 3 & 11

CHAPTER 2

A review and synthesis of context and practice

Bob Hamlin

INTRODUCTION

For the past decade or so, organizations both large and small, whether in the private, public or voluntary sectors, have been subjected to enormous environmental pressures and forces of change, which have led to major transformations in organizational structures and the contexts in which management has had to operate and succeed. Such changes are increasing in frequency, pace, complexity and turbulence, and there appears to be no sign of abatement. Hence one of the major challenges facing managers and also trainers and developers is how to help people through the transitions of change, and how to survive in working environments that are in a constant state of flux. As will be discussed later in the chapter, all too often organizational change programmes fail because management fails to rise to the challenge which change brings. However, for organizations that do manage change effectively, change itself becomes the driving force that perpetuates future success and growth. In these organizations, every change becomes welcomed as an opportunity for increasing efficiency and for building new organizational success.

With the above in mind, the purpose of this chapter is first to draw your attention to the drivers of change currently impacting upon organizations, then to discuss the reasons why so many organizational change and development programmes fail, and finally to highlight the implications for managers, trainers and developers in their role as change agents. It is hoped this will provide you with an increased understanding of the rationale for the subsequent chapters of the book.

CURRENT ORGANIZATIONAL TRENDS OF CHANGE

Based on a study of leading-edge European industrial organizations, Barnham *et al.* (1988) reveal how corporate environments have become more growth- and customer-oriented, faster-moving and increasingly international, and how these trends demand greater responsibility, initiative and leadership from managers at all levels of the organization.

More recently, Champy and Nohria (1996) in the USA claim that the three major drivers stirring organizational change faster than ever before are as follows:

1 *Technology*: particularly IT, which is transforming businesses in dramatic ways.
2 *Government*: rethinking its role in business, with all governments on a worldwide basis initiating deregulation, privatization and increasing free trade.
3 *Globalization*: where companies from all parts of the globe are competing to deliver the same product or service, anytime, anywhere at increasingly competitive prices, which is causing organizations and companies to organize themselves in radically different ways.

Drawing on a wide range of management literature, but also upon his own extensive experience of consulting and facilitating management development for organizations worldwide, Hussey (1996) identifies 'competition', 'more demanding customers', 'accelerating pace of technological obsolescence' and 'pressure to deliver shareholder value' as the major long-running forces of change.

Based on a series of studies conducted with managers, trainers and developers attending postgraduate management programmes over the past six years, the author's own findings at grass-roots level in both private and public sector organizations support the findings of the above commentators, as illustrated in Table 2.1.

Table 2.1 Comparison of the trends of change perceived and felt at grass-roots level in private and public sector organizations in the UK

Private Sector Organizations	*Public Sector Organizations*
Increased flexibility and multi-skilling the workforce	Flexible working patterns and shifting of skills/ professional boundaries
Focus on quality and value for money	Focus and drive on quality
Flatter structures	Flatter structures
Decentralization	Devolution
Increased competition	Compulsory competitive tendering/best value
Mergers and acquisitions	Unification and amalgamations
Downsizing	Downsizing
Greater customer orientation	Emphasis on 'customer' care
Globalization of businesses, the economy and society	EU influences on shifting populations Greater mobility and transferability of skills
More contracting out of functions	Privatization of services
Increasing impact of IT and other technological advances	Rapid advancement in the application of information technology
Greater diversity in gender and ethnicity and fair and ethical practice	Increasing emphasis in equal opportunities
More periphery, temporary and home workers	More short-time and part-time contracts
Citizens' Charter initiative	Patients' Charter initiative
Increased stress at work	Increased stress at work

From the comparison, it is evident that most of the forces stirring change in private sector organizations are the same as, or similar to, those impacting upon organizations in the public sector. Inevitably these trends of change are changing the characteristics of both business enterprises and public bodies.

According to Champy and Nohria (1996), the business organization of the future, 'twisted into a new shape by fierce global competition, changing markets and technological breakthroughs, is emerging with distinct characteristics. It will be:

- information-based,
- decentralized, yet densely linked through technology,
- rapidly adaptable and extremely agile,
- creative and collaborative, with a team-based structure,
- staffed by a wide variety of knowledge workers, and
- self-controlling,

which is possible only in an environment of clear, strong and shared operating principles and of real trust'. It will also become 'a fluid network where connections form and reform almost organically, like the branches of the human nervous system. There will be authority and some hierarchy, but the archaic organisational shape – the pyramid – will be gone for ever'.

The implications for management are profound, particularly regarding the way people will need to be managed in these 'fluid' organizations. Barnham *et al.* (1988) argue that managers should let go of the 'command and control' styles of management typically associated with traditional hierarchy and bureaucratic structures. Instead they need, for example, to be more sensitive to the external forces and influences; to give more attention to lateral as opposed to vertical relationships; to exercise leadership that mobilizes and energizes others; to be more committed to achieving high performance; to be more forward-looking and more prepared to anticipate, initiate and respond to change. Furthermore, they need the awareness and abilities to harness IT effectively, to relate to the external economic, social and political environment, and to manage in the complex organizational structures and fluid networks as predicted by Champy and Nohria.

The need for these managerial skills and abilities has been further demonstrated by the author of this chapter through his research into managerial effectiveness in various UK organizations (see, for example, Hamlin 1990, Hamlin and Reidy 1997). Of particular note from this research is the fact that 'managing change and innovation' featured strongly as one of the identified criteria of managerial effectiveness in each of the organizations studied. Interestingly, Yeung *et al.* (1996) identify 'the capacity to facilitate and implement change' as one of three critical competencies required of senior HR generalists.

THE FAILURE OF ORGANIZATIONAL CHANGE AND DEVELOPMENT PROGRAMMES

It is of crucial importance to all that have a stake in the success of an organization, not least the workforce, that organizational change and development processes are managed effectively and beneficially. Hussey (1996) claims 'organizational success depends on the soundness of the strategic decisions taken by management, and the ability of the organization to implement these'. As he rightly warns, 'an organization can sink from having a poor strategy' and also sink 'if (even with a good strategy) it does not implement strategy effectively'. The management literature reports many examples of managerial failure in both the formulation and implementation of strategy, particularly strategies involving significant organizational change and development. Evidence suggests that the majority of 'downsizing' and 'delayering' exercises are unsuccessful. Few ever achieve the aimed-for goals of increased competitiveness and profitability, and many end up with lower profit margins and poorer returns on assets and equity than are achieved by equivalent firms that have not downsized (see Howard 1996; Wyatt & Co. 1994; de Meuse *et al.* 1994; Hussey 1997).

A majority of TQM and BPR programmes are purported to fail. For example, Schaffer and Thompson (1992), who surveyed 300 electronics companies in the USA, found that of the 229 reported as having implemented some form of TQM programme, 63 per cent failed to yield improvements in quality and only 10 per cent of these programmes were successful. This finding is supported by Hammer and Champney (1993), who reveal the failure rate of BPR initiatives in the United States to be in the region of 50–70 per cent. With regard to TQM strategies, Kearney (1994) reports they have not produced the benefits claimed, and according to Hamel and Prahalad (1994) this situation also applies to BPR programmes.

The picture is much the same in Europe. Although over two-thirds of the top 500 companies in Britain have introduced TQM, only 8 per cent of managers (in these companies) believe it has been successful (Wilkinson *et al.* 1993). Most BPR initiatives undertaken by European companies have been shown to be process simplification exercises rather than re-engineering (Coulson-Thomas 1996), while in the UK there is real uncertainty as to whether organizations reporting BPR activity really do apply BPR principles (Hussey 1997). Hussey considers it unlikely that BPR success rates in Britain are any higher than those reported for the USA, a view supported by the findings of Nelson and Coxhead (1997). Of the companies they surveyed only 10 per cent achieved major breakthroughs from applying BPR principles, and they estimate that over 50 per cent of BPR change initiatives fail to achieve the results intended. With regard to culture change, research by the Industrial Relations Service (IRS 1997) suggests that as many as 80 per cent of this type of organizational change programme fails. A similar failure rate is also reported for IT-related change. According to a study conducted by OASIG in 1996, 80–90 per cent of investments in new IT fails to meet their performance goals (see Holland and Aitken 1999).

It is the case that many organizational change initiatives fail badly, with unintended and damaging consequences. Although recognizing that organizations have to change and restructure in order to maintain or enhance competitiveness in the face of fierce global competition, changing markets or technological breakthroughs, Marks (1994) argues that the rapid pace and massive scope of organizational change in recent years have increasingly taken a psychological toll, not least on those employees who emerge as 'survivors' of the turmoil of change, irrespective of whether it is caused by mergers, acquisitions, corporate rationalizations, delayering, TQM, BPR or downsizing. In particular, he refers to the unintended human consequences, which he identifies as:

1 The 'wrenching experiences', which are often poorly or even badly handled by top management, who tend not to get involved. Instead they leave the handling to middle managers and supervisors, who are invariably ill-equipped to cope with the situation.
2 The 'psychological reactions to the transitions', which lead to the survivors of the change programme feeling guilty for still being in a job. They lose confidence in management, become fearful, suspicious, cynical and demoralized; they also feel less loyal to the organization because the old psychological contract, which embraced 'job security' as one of its components, has been broken by the company.
3 The 'behavioural reactions' of the remaining workforce in the post-transition organization, where workloads are generally bigger and working hours extended; where people suffer a lack of direction, tend to work at a 'frantic' pace and struggle to 'keep their heads above water'; and where risk taking plummets, political games increase, role ambiguity abounds and high stress levels become endemic. All of these unintended consequences can lead to employee alienation and possible psychological withdrawal from the organization.

Marks also discusses the unintended 'business consequences' resulting from organizational change and development failures, such as the 'increased costs in retraining the remaining workforce', the 'increased use of temporary consultants and overtime', the 'loss of the wrong people' and the (enforced) 'contracting out of entire functions'.

A similar situation of unintended 'human consequences' arising from mergers applies in the UK, as reported by Devine and Hirsch (1998), who claim:

> the danger of badly handled mergers is that people employers want to keep become disaffected and leave. Also failure to manage the people dimension risks disruption, mistrust, political infighting, a legacy of bad feeling, the loss of key employees and a negative impact on business performance.

Reporting a major baseline study on the 'Quality of Working Life in Corporate Britain', Worrall and Cooper (1997) have exposed a number of unintended human and business consequences which ask questions about corporate governance and the effective management of change. Their research revealed

> that the majority of change initiatives had been driven by cost reduction, delayering, headcount reduction and performance improvement; that where change had taken place there was evidence that the objectives which had driven the change process had not always been achieved, and that there was clear evidence that many change management programmes had had strongly negative effects on employee loyalty, motivation, morale and sense of job security.

Furthermore, there was strong evidence that in larger organizations (those employing over 500 people) a 'schism has emerged in the UK management between directors and above, and senior managers and below which pose some intriguing questions about the continuation of the large, corporate structures which have traditionally dominated the organizational landscape'. Other key findings from this research project provide evidence of unintended human consequences similar to those reported by Marks, such as 'not having enough time to get work done, the organization not learning from its mistakes, the lack of resources to get work done effectively and the organization being left with the wrong mix of skills'. Additionally, in many instances, there has been 'too much change which had stripped out much of the organizations' knowledge base and had replaced it with cheaper, but less effective agency staff to a point where it was no longer possible to deliver quality services'. Subsequent research by Worrall and Cooper (1998) has reinforced their earlier findings:

> In the 1997 survey, we were led to conclude that the impact of the considerable amount of restructuring that had taken place in UK business organizations over the 12 months prior to the survey had had a considerable negative effect on employee loyalty, morale, motivation and, particularly, perceptions of job security. In the 1998 survey, these results have been replicated very closely. Our research has revealed that organizational restructuring has imposed considerable human and social costs on the recipients of that change.

However, it should be noted that their 1998 findings also confirmed that the effects of restructuring on loyalty, motivation, morale and sense of job security were 'much less pronounced in family-owned businesses and private limited companies than in Plc's and the public sector'. With regard to downsizing and/or delayering, Worrall *et al.* (1999) have also exposed a number of findings which challenge the core assumptions that many senior managers hold about the use of various methods of organizational restructuring – particularly redundancy. Their research demonstrates that redundancy and the way it is handled 'has a huge negative impact on the victims, on the people who survive it, and on the organizations within which they work. The attitudes of the surviving managers are substantially modified, they become more risk averse, their loyalty tends to switch from the organization to themselves, and decision making becomes slower as their spans of control widen and they become subject to increased task overload and reduced role clarity'.

Furthermore, as already outlined above, organizational knowledge and skills bases are also perceived to be eroded as expensive 'lifers' are replaced by temporary and contract workers. While organizational change is inevitable, their research indicates that companies have a long way to go in learning how to manage change effectively and to prevent the downward spirals that can result from uncritical use of the blunt instrument of redundancy. Undoubtedly their findings have posed serious questions about how well organizational change is being managed in the UK. It also reinforces the concerns expressed by Micklethwait and Wooldridge (1996) in America, who draw attention to the negative effects of (top) management 'trying to change organizations or using the management flavour of the month to disguise Weberian methods to bring about drastic or draconian change. Management gets the idea that it owns the organization and that the employees are merely resources for their command. They often forget that they are organization employees too'.

In discussing the issue of downsizing and the management of change, Thornhill *et al.* (2000) support the view of Shaw and Barrett-Power (1997) that the hard numbers-based corporate measures typically used to assess the effectiveness of downsizing are inadequate as a means for understanding and managing the impact of the process on stakeholders such as work groups and individuals who survive the event. However, as these writers argue, although such measures may indicate that downsizing has had a negative impact on those who survive as employees, they 'can only serve to highlight the presence of psychological and behavioural consequences for [the] survivors'. Drawing on the work of Tomasko (1992), Cameron (1994) and Mishra and Mishra (1994), Thornhill *et al.* draw attention to the fact that only 20–50 per cent of organizations engaging in downsizing achieve their objectives of improved productivity, higher investment returns, reduced costs and increased profits.

From the weight of evidence one must conclude that the process issues associated with organizational change and development are far more complex and difficult to manage successfully than is often supposed, and that managers are generally insufficiently skilled in change agency.

WHY ORGANIZATIONAL CHANGE AND DEVELOPMENT PROGRAMMES FAIL

That such a high proportion of organizational change programmes fail is somewhat surprising, bearing in mind the plethora of 'best practice' advice and guidance on the 'how to' of change management available in the management literature. These range from straightforward, plainly written 'practical guides' and 'handbooks' written by consultants from their everyday practical experiences as practitioners, through to textbooks written by academics mainly for the education market. Some of the former can be criticized for being too pragmatic and 'feet on the ground' to the point of being no more than prescriptive recipes bordering on the simplistic. In contrast, some of the latter can be so theoretical and philosophical as to appeal only to academics and students of particular specialisms within the field of organizational change and development (OCD). Even so, to a greater or lesser extent, the range of literature can be of some value in helping to inform, shape and challenge a change agent's thinking about managing change.

Many authors in the field have offered their readers 'a planned change management model'. Although these have tended to differ one from the other in varying respects, all have incorporated a common systematic 'step-by-step' approach to the management of change. This usually comprises some or all of the 'phases' or 'stages' that make up the 'generic model for managing planned organizational change', as illustrated in Figure 2.1. This model is a 'composite' based on those offered by, among others, Bullock and Batten (1985), Cummings and Huse (1989), Carnall (1990, 1991), Beckhard and Pritchard (1992), Goss *et al.* (1993), Warrick (1994), Burnes (1996) and Stewart (1996).

Stage 1	Diagnose/explore the present state and identify the required future state
Stage 2	Create a strategic vision
Stage 3	Plan the change strategy
Stage 4	Secure ownership, commitment and involvement, including top management support
Stage 5	Project-manage the implementation of the change strategy and sustain momentum
Stage 6	Stabilize, integrate and consolidate to ensure perpetuation of the change

Figure 2.1 A generic model for managing planned organizational change

An easy-to-remember model originating in the UK is that of Hussey (1996), who uses the mnemonic 'EASIER' to memorize his six-stage approach to managing change, as follows:-

Envisioning:	the process developing a coherent view of the future (a vision) in order to form an over-arching objective for the organization.
Activating:	the task of ensuring that others in the organization understand, support and eventually share the vision.
Supporting:	the helping of others to play a key part in the implementation process.
Implementation:	the process of developing detailed plans to enable the (change) strategy to be implemented and controlled.
Ensuring:	the process of checking that existing monitoring and controlling processes are adequate and establishing supplementary controls as required.
Recognizing:	the giving of recognition, either positive or negative, to those involved in the (organizational change) process.

A well-known managing change model originating from the USA is one developed by W. Warner Burke (see Siegal 1996). The 'change process' part of this model comprises four sequential dimensions, as follows:

1 *Planning change*: concerning the causes of change in organizations, articulation of the vision, how to get from the present to the future, and barriers to effective transitions.

2 *Managing the people side of change*: concerning how, when and how much to communicate change within the organization, and psychological issues related to transition.
3 *Managing the organizational side of change*: concerning the design and structural issues of systemic and long-term change efforts.
4 *Evaluating the change effort*: concerning indicators of a change effort's effectiveness.

Besides having the knowledge to apply the 'change process' dimensions, Warner Burke also argues that managers need to have knowledge of the 'fundamental aspects of change' relating to two additional dimensions, namely:

1 *Individual response to change*: concerning the nature, prevalence and utility of resistance to change.
2 *The general nature of change*: concerning whether effective large-system change is evolutionary or revolutionary in nature and the characteristic patterns that typify change efforts in organizations.

Implicit in this and other change management models is the expectation that managers possess the 'knowledge base', and by inference the 'expertise', to manage change effectively. But the failure rates of organizational change programmes, as discussed in the preceding sections of this chapter, suggest the majority do not. Evidence also suggests that in organizations where organizational change programmes fail, these failures follow a predictable pattern (see Bulletpoint 1997). Typically this starts with the senior management announcing a new corporate change initiative, quickly followed by a series of short, company-wide training events to bring everybody 'up to speed', the setting up of cross-functional committees to discuss 'the way forward' and then the subsequent re-allocation and re-arrangement of resources. However, through this process, the organization and its management lose sight of the reasons and focus for the change, which leads to a loss of momentum and resources. The change then fails. Causes of failure can be many and varied, but the vast majority come from within the organization. They include, for example:

- people viewing change as a destination rather than as a process needing good planning, preparation, project managing and constant attention;
- a lack of clear vision about both the short- and long-term goals;
- the legacy of previous organizational change programmes that have been handled badly or have failed, which produces a sceptical risk-averse culture, middle management inertia and general employee resistance to change;
- failure to provide the necessary encouragement, training and skills that enable employees to adapt and adjust to organizational change;
- inadequate communication about the change including, for example, giving information to employees too gradually, which then risks the 'grapevine' getting to them first;

- focusing the change effort too narrowly on one aspect of the organizational 'equation' and ignoring the 'inter-connectedness' of organizational life. For example, investing in management training to bring about changes in managerial style but failing to adjust the reward systems to support the required changes in managerial behaviour.

These failures are examples of weaknesses or omissions in the application of what might be termed 'best practice' approaches to the effective management of planned change. Although most if not all managing planned change models promoted in the management literature are basically sound and have high face validity, in many cases the simplified diagrammatic/summary formats of the models can appear overly simplistic and just plain common sense. Herein lies what the author considers to be a potential weakness of change management 'models' and 'prescriptions', namely that they are subject to over-simplification. This can then lead to the 'skipping of important steps' and a lack of rigour in the application of the change management model. It is suggested that these weaknesses come about most likely as a result of a lack of change agency expertise of various kinds on the part of managers, trainers and developers. Furthermore, these may be exacerbated by one or more of a number of underlying root causes or 'failings' in facilitating and managing organizational change, as follows:

Failing 1: Managers not knowing the fundamental principles of change management

Some organizational change programmes fail because the managers responsible for initiating and implementing change are either totally unaware, or insufficiently aware, of the fundamental principles and 'best practice' approaches in the field of organizational change and development. Through 'ignorance' they blindly launch into change programmes that are therefore doomed to failure. In the case of BPR, the overwhelming majority of failures can be attributed to a small number of root causes. Hammer, who is regarded as the 'high priest of re-engineering' in the USA, together with Stanton, has demonstrated that the single most significant contribution to BPR failure is the fact that '... people engaged in the re-engineering effort don't know what they are doing; they misconstrue or fail to comprehend the fundamental nature of re-engineering; their techniques are improvised or random, not based on practical experience' (Hammer and Stanton 1995). Causes of BPR failures in UK and European organizations are probably much the same as those identified by Hammer. It certainly is the case in the UK that 'complacency and ignorance remains a strong inhibitor of change and improved performance' (RSA 1995) and that the 'biggest barrier to implementing change happens to be managers themselves' (Gamblin 1997).

The situation regarding change management failures begs the question as to why managers are 'complacent' or 'don't know what they are doing'. For those managers who received no formal management education as part of their career progression as a manager, the reason may be clear and understandable. However, for those managers who possess management qualifications such as an MBA or diploma in management, the reasons are less clear and understandable, because the theory and practice of change management usually features strongly in the syllabuses of these qualification programmes. It may be the case that insufficient attention is given to the 'behavioural issues' of change management or to developing the 'soft skills' required to manage change effectively.

Clearly, whatever the cause of this lack of knowledge and expertise, it behoves all managers to take responsibility for educating themselves fully in the whole area of change management, particularly the process issues of organizational change and development.

Failing 2: Managers succumbing to the temptations of the 'quick fix' and 'simple solutions'

Even when managers are sufficiently aware of the 'theory and practice' of organizational change and development, too often they succumb to the temptation of the 'quick fix' or 'simple solution'. The temptation may be induced by the urgency of the change, or by managers themselves oversubscribing to the KISS (keep it simple, stupid) approach to managing. Gamblin (1997) argues that one factor above all seems to drive managers for 'quick fix' solutions, and that is 'short-termism'. Another is waiting for the 'big idea' that will transform the organization. Using the analogy of the 'wind surfer who waits for the next big wave to come along, finds the ride exhilarating but ends up back in the same place', he claims that 'the truth about real lasting change is that it is rather more difficult and complex to manage than managers first imagine', and that 'they need to start looking at the problems associated with change with a little more depth of understanding, rather than simply waiting to be carried forward by the next big wave'.

Various commentators warn against 'quick fixes' and 'simple solutions', including, for example, Kilman (1989) and Hussey (1996). After observing at close range the organizational change programmes of over 100 major organizations, including Ford, General Motors, British Airways, Eastern Airlines and Bristol Myers Squibb, Kotter (1996) concluded that 'the change process goes through a series of phases that usually requires a considerable length of time; that skipping steps creates only the illusion of speed and never produces satisfying results', and that 'critical mistakes (or omissions) in any of the phases can have devastating impact, slow momentum and negate hard won gains'. Clearly managers need to guard themselves against succumbing to the attractions of the 'quick fix' or 'simple solution'.

Failing 3: Managers not fully appreciating the significance of the leadership and cultural aspects of change

Many managers fail to appreciate the full significance of the 'leadership' and 'cultural' aspects of change and give insufficient attention to these critically important issues. Beckhard and Pritchard (1992) discuss in some detail the interdependence of what many expert commentators regard as being the three most important factors in a fully functioning organization, namely the 'leadership', the 'culture' and the 'management of change'. They argue the case for managers to take these into account in an integrated way when managing fundamental organizational change.

From their studies of organizational re-engineering programmes Hammer and Stanton (1995) identify '... proceeding without strong executive leadership' and '... adopting a wrong style of implementation' as two of the top ten mistakes made by managers responsible for initiating and facilitating change. The latter mistake has much to do with leadership style, which is an aspect of the management culture. Warrick (1995) contends that 'competitive advantage can best be achieved when organizational leaders lead, champion change and adopt a sound change process. When leaders fail to lead, efforts to improve the organization will under-achieve the desired results or, as is often the case, make things worse and add more chaos to an already chaotic situation'. He goes on to claim that the reasons why leadership is so important in today's intensely competitive and rapidly changing corporate environment is that leaders are the single most important factor in determining the success and effectiveness of organizations. They are the main shapers of organization culture and can make or break organizations by the way they manage. Managers can create or destroy trust, which is the ingredient that makes change possible and accelerates the change process. If they are good leaders, they can provide the focus, direction and continuity necessary to keep perspective during times of rapid growth and change, and momentum and hope during difficult times.

From their study of the barriers to technical and organizational innovation within a finance clearing house of the Bank Giro Centrale in the Netherlands, Boonstra and Vink (1996) identified the autocratic style and quality of leadership as a major impediment to change. This led to a lack of employee involvement and acknowledgement by senior management of the experience they could contribute to the change process, and also to a lack of openness by management about the objectives and the methodologies to be used. Furthermore, other barriers observed within the social system of the organization that limited people's ability to change included the norms and values, the existing power configuration, and poor inter-functional teamwork.

In explaining how and why transformation efforts fail, Kotter (1996) identifies eight mistakes typically made by managers when leading change, as follows:

1 Not establishing a great enough sense of urgency.
2 Not creating a powerful enough guiding coalition of key people who can work together as a team (of change agents) and lead the change effort.
3 Not having a vision to help direct the change effort and failing to develop the strategies required for achieving it.
4 Under-communicating the new vision and not setting a good example by exhibiting the required new behaviours themselves.
5 Not removing obstacles to the new vision (whether things or people).

6 Not systematically planning and creating short-term wins visible as performance improvements, or recognizing and rewarding those employees involved.
7 Declaring victory too soon, which can lead to momentum being killed, change coming to a halt and tradition creeping back in.
8 Not anchoring changes in the corporation's culture.

Clearly all eight mistakes relate to the 'leadership' and 'cultural' aspects of the 'change management' process.

A UK example of a major transformational change programme failing because of insufficient attention being given to the 'cultural' issues has been well documented by Brooks and Bate (1994). It relates to the government-led Next Steps Initiative launched in 1988 to bring about transformational change in the British civil service, which failed to 'spark off the required cultural revolution at the local level that was necessary for the initiative to fully succeed'. Brooks and Bate reveal how this major change initiative, which had been imposed top-down, had been frustrated by a strong, resilient, yet 'non-relevant' cultural infrastructure applying at the grass-roots level of the organization. This had acted in a way as to neutralize the desired changes. In a later article, Bate (1996) uses the term 'cultural lag' to describe the condition when a culture remains unchanged, becomes no longer relevant to the needs of the organization undergoing change and acts as an impediment. The importance of addressing the cultural issues associated with transformational change programmes will be found in the Industrial Relations Service (1997) management review on cultural change.

From their 1998 research findings into the 'quality of working life' referred to earlier in this chapter, Worrall and Cooper (1998) conclude that 'the achievement of significant (organizational) change requires sustained top management commitment which has to be evident and consistent throughout the process'. For organizational change and development programmes to succeed it is evident from the above that adequate attention must be given to the 'cultural' issues and to the quality of the 'leadership'.

Failing 4: Managers not appreciating sufficiently the significance of the people issues

In many instances, neither the top management team initiating the change programme nor the coalitions of managers, trainers and developers leading the change process give sufficient attention to the people issues. This can be inferred from the range of unintended and undesired human consequences resulting from many organizational change programmes, as reported by Marks (1994) and Worrall and Cooper (1997, 1998). Hammer and Stanton (1995) claim that failure to attend to the concerns of the people 'is one of the top ten mistakes in re-engineering'. Drawing upon and interpreting the research work of Alexander (1991) in particular, but also other writers, Hussey (1996) identifies a range of problems concerned with the management of change. These relate to the mishandling of the HR elements of strategic management, which typically leads to strategy implementation failures. Skilling (1996) claims that 'the most often neglected and misunderstood dimension of change effort is the human side'. As he argues, effectively managing the human side of change means paying attention to the psychological processes that people experience in dealing with change, whether planned or unplanned. It is 'not so much the change itself that causes difficulties but rather the transition process which generates confusion and disrupts lives. Change occurs when something (new) starts or something (old) stops and it takes place at a particular point in time. Transition is the gradual psychological process through which people reorient themselves so they can function and act appropriately in the changed situation'. Drawing on the ideas of Bill Bridges, a transition management author, he cautions us to remember that it is a three-phase psychological process. People have to be enabled first to let go the old ways of the past and its memories (endings) while holding on to some aspects as necessary, second to re-invest in the new way of doing things (in-between time), and third to become fully committed to the 'new' direction and organization (new beginning). Hence, he argues, if organizational leaders (and managers) who are managing change are to achieve success, it is critically important they understand the distinction between change and transition and pay sufficient attention to the human side of change.

Failing 5: Managers not knowing the critical contribution that the human resource development function can make to the management of change

Of all the omissions and failings on the part of managers in addressing and attending to the people component of change management, perhaps of greatest concern is their failure to use human resource development (HRD) to best effect as a tool for managing change. The understanding of HRD which the author has in mind here is close to the definitions offered by McLagan (1989) and Swanson (1995) in the USA, and the even 'more inclusive' concept of HRD in the UK as offered by the University Forum for HRD (1998) and more recently demonstrated from evidence by Walton (1999). These define HRD as a strategic, dynamic, business-driven and/or individual-driven function which embraces both 'training and development', 'organization development' , 'career development' and ' vocational learning', which may or may not be organizationally focused. This interpretation and understanding of modern-day HRD contrasts sharply with what can be argued are the outdated understandings of many managers and HR people. For example, some view HRD as one of many sub-sets of administrative activities comprising the personnel management function, with the training specialism responsive only to immediate knowledge and skill deficits. Even though personnel management is increasingly being referred to as human resource management (HRM), which many claim is strategic in focus, evidence suggests the concept of strategic HRM still remains more rhetoric than reality (see Guest 1990 or Armstong and Lang 1994). As Hussey (1996) observes, 'until recently HRM has been associated (primarily) with administrative functions and procedures', a view also echoed by Herriot (1998), and as recent research by West and Patterson (1998) reveals, 'too many organizations have only a nominal commitment to HR practices'. Grundy (1993) also observes that 'Human Resources is considered to be one of the key ways of gaining competitive advantage which is hard to imitate. Yet human resources strategies offer little concrete guidance to practising managers on the process of human resources – and in the context of a strategic plan'.

However, it has long been the case that some HRD practitioners have practised at a strategic level, have made pivotal contributions towards the achievement of organizational effectiveness and success, and have helped create the critical capabilities required for the organization to adapt, change and transform itself.

Unfortunately, many managers have 'blind spots' regarding HRD, seeing it only in terms of high-cost external training courses, or long-term development/qualification programmes for young and new employees. Too often they see training and development as an undesirable drain on the organization's resources, an expenditure that can only be afforded when profit or funding is plentiful, rather than as an essential investment the organization can ill afford not to make even in the toughest of times, especially during periods of organizational change. Hence, in the everyday situation of managing, managers tend not to turn naturally to trainers and developers for help or support, or proactively to use HRD as a tool for managing change. Yet in all change there are HRD implications, whether the change is as large as a major shift in corporate direction or as small as a minor modification to the working practices of an operator required to perform a new task or procedure. For every change, both large and small, either 'new' knowledge, attitudes, skills and habits (KASH) have to be acquired, as in the case, for example, when new products, services, technologies, structures or systems are introduced; or alternatively 'existing' knowledge, attitudes, skills and habits must be redistributed, as in the case of downsizing or when mergers or acquisitions take place. Unless the KASH gaps flowing inevitably from organizational change initiatives are bridged efficiently and effectively, whether at the organizational, group or individual level, the organization will not develop the critical capabilities required to make a successful transition from the present state to the new desired future state. If people lack the requisite KASH to perform to the expected standards, organizations are bound to risk failure or partial success only. The scale and nature of the HRD effort built into an organizational change and development programme will determine whether or not the planned change is a success. Change can either be brought about beneficially with the organization reaching its desired future state, or detrimentally with the organization suffering unintended, damaging consequences and ending up in an unwanted state, as illustrated in Figure 2.2.

Hence, for managers to be in control of change, they must ensure they are in control of the KASH issues associated with change itself. This means giving sufficient time and attention to the 'soft' HRD (and HRM) aspects of managing the change process, as Stewart and Hamlin (1990) and Stewart (1993, 1996) have been advocating for over ten years. This stance is supported by Bennett and O'Brien

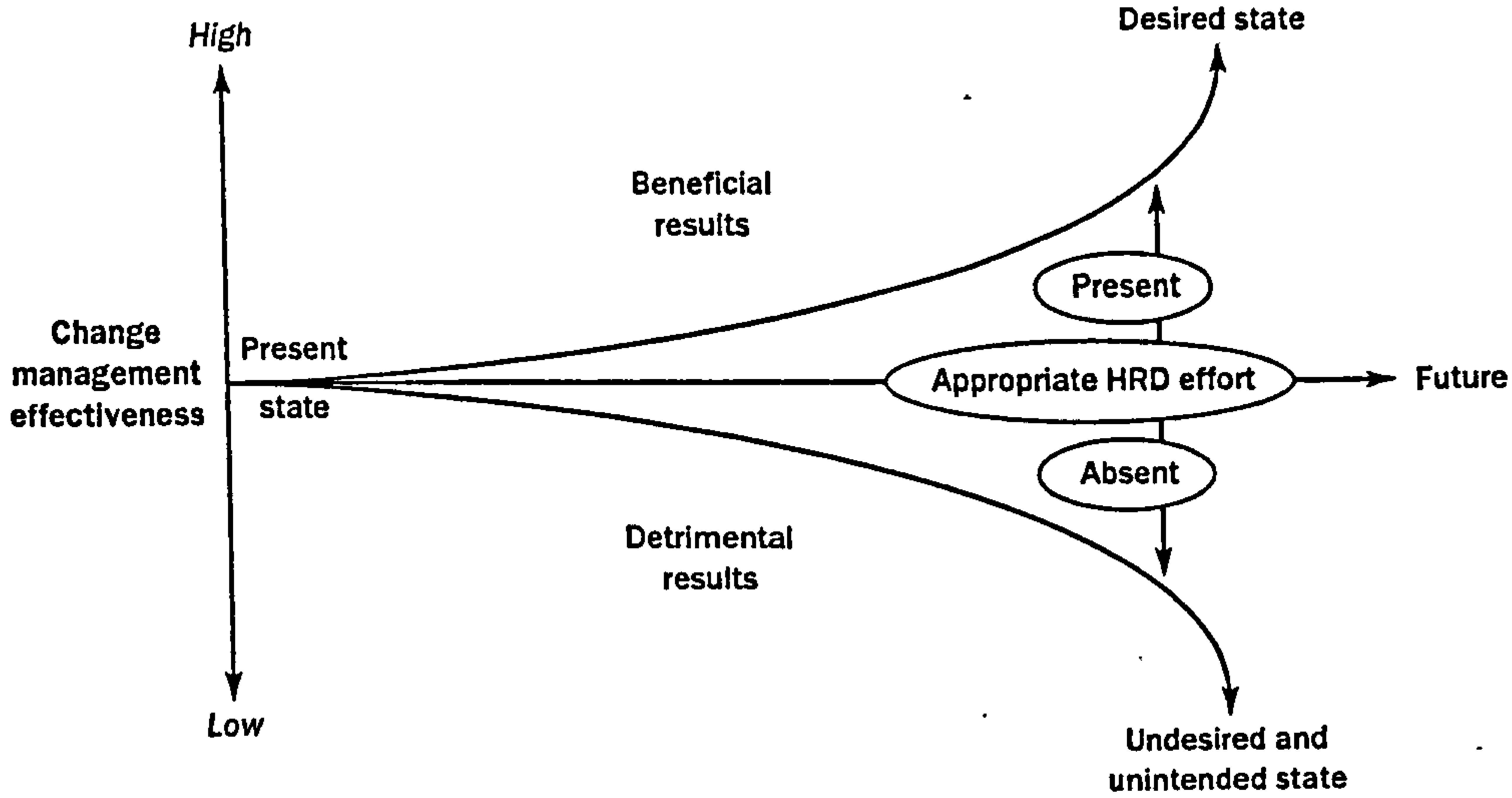

Figure 2.2 The critical contribution of appropriate HRD effort to change management effectiveness
Adapted from: Stewart and Hamlin (1990)

(1994), who argue that 'training and education efforts play a key role in transforming an organization's practices. Training is an integral, complementary component of change and growth'.

Similarly, in discussing the use of action training and research (AT&R) for changing organizations, Bruce and Wyman (1998) state that 'AT&R practitioners need to direct considerable attention to the development of the skill and methods among the people of the organization so that they can constantly change as needs and the environmental situation shift. Indeed, if the organization is to become a changing organization, it must be able to transform itself in anticipation of the changing needs of the people that its products and services support'.

More recent writers, including Thornhill *et al.* (2000), have claimed that HRD lies at the very heart of managing change through people because the consequences of any change process is that people will need to think and/or behave differently. However, they comment that 'its central status is not always reflected in practice'. Walton (1999), in discussing the management of transformational change from an HRD perspective, argues that 'by positioning HRD as a linchpin between the individual and organization dynamics of the process, it draws attention to the central role that HRD can play by mediating between those two elements'. Building on the work of Burack (1991), he describes a five-stage model for effectively managing transformational change and how HRD can contribute at every stage of the process, from recognizing the need and diagnosing the capacity for change through to initiating the change process, managing the transition and sustaining momentum.

Interestingly, from a recent seven-year study of 100 medium-sized manufacturing firms in the UK, West and Patterson (1998) reveal that 'investment in people management accounted for 19 per cent of the variation in profitability and 18 per cent of the variation in productivity of these firms'. In contrast, while 'emphasis on

R&D investment accounted for a respectable 8 per cent, emphasis on quality, new technology and competitive strategy barely crept above 1 per cent in terms of contribution'. Hence they argue that senior managers need to become 'convinced about the use of effective people management for creating an organization that views investment in people as the source of competitive advantage'. This requires managers 'managing creatively and effectively the whole person, skills acquisition and development, the community of their organization and the well of innovation from which they must draw to survive'.

The research findings of Hamlin and Reidy (1997) also reinforce the notion that to be effective, particularly during times of major organizational change, managers need to give time and attention to the HRD issues. Six criteria of managerial effectiveness were identified as applying in HM Customs & Excise, each of which comprised a cluster of managerial behaviours strategic to success. Besides those relating specifically to the 'managing change' criterion, most of the managerial behaviours underpinning the other five criteria related to the expertise required to manage change effectively. For example, the research revealed that managers needed to adopt a more participative and supportive style of leadership; to be team oriented; to be good team leaders and team members; to be effective at delegation; to empower their people; to act proactively in situations; and also to invest time and effort to the training, coaching and mentoring of staff.

Grundy (1993) also draws attention to the crucial link between HRD and strategic change. Specifically, he argues the case that strategic human resource planning and development (HRPD), which entails the close integration of thinking about future HR needs with thinking about competitive strategy, organizational strategy and the business environment, can and should play a key role in the evolution of specific competitive strategies. It should also be instrumental in implementing major changes, developing future competencies and in more tactical implementation.

In conclusion, for managers to manage change effectively and beneficially they need consciously to incorporate training and development into the very 'fabric' of their everyday management practice. They also need to use HRD as a tool of management, particularly in the area of managing organizational change and development. The ultimate would be for managers to embed HRD into the 'blood stream' of the organization, thereby increasing its potential of becoming a 'learning organization': in other words, an organization that has the capability to adapt readily and transform itself efficiently and effectively in the face of endemic change, and thereby to survive and thrive.

Failing 6: Trainers and developers lacking credibility in the eyes of line managers

Historically, many trainers and developers have been in roles perceived as being of lower status than those of professionals in other functional areas such as finance or marketing. Generally they have lacked 'credibility' in the eyes of line managers, which has not been helped by being part of personnel departments that have also lacked credibility due to the dominant focus of many HRM professionals on administration. As Ulrich (1997) points out, for too long the HR function 'has been plagued by old myths that have kept it from being a profession' and which has resulted in 'line managers placing uniformly low expectations upon the function' and hence on HRM and HRD practitioners. Consequently, comparatively few in-company personnel and training practitioners have gained access to top management, or have been in positions of strategic influence. Drawing on for example Sisson (1994), Thornhill *et al.* (2000) comment that 'the lack of status of the personnel function in the UK has long been noted as an impediment to HR specialists playing a strategic role through influencing business strategy'.

Exceptionally, some professional trainers and developers have reported directly to a chief executive officer, managing director, personnel director or other main board director who has had an enlightened understanding of HRD. Current trends suggest that more people are entering HRD after having had a successful professional career in other functional specialisms, including line management. They also find themselves in HRD roles that are strategic in orientation and structured into the senior management team. However, too many trainers and developers still remain in relatively 'low status' positions, lack credibility in the eyes of line managers, and do not have access to or opportunities for influencing top management. Some of these constraints are determined by the limited role expectations placed upon them by the organization or by particular managers. This can be due largely to the managers' lack of recognition or understanding of the critical contributions that modern-day HRD professionals can make towards business efficiency, organizational effectiveness and strategic change. However, the constraints can be self-induced, either in part or wholly, as a result of the limited role expectations of trainers and developers themselves (for further elaboration, see Reid and Barrington 1997; Harrison 1997). Some choose to interpret HRD solely as the provision of training and development programmes to meet needs identified and predetermined by others in the organization. They choose to see themselves primarily as direct trainers, instructors, training providers or administrators of training, not as strategic organizational facilitators, change agents and internal OD consultants. Hence the roles performed by many trainers and developers are narrow, prescribed and often limited to the safety/comfort zone of the training room.

Until recent times the majority of trainers employed by large private and public sector organizations spent most of their time within centralized training departments running prescribed, standardized courses for large populations of employees, often on a 'conveyer belt' basis. Their contact with the organization outside the training department was generally limited or even non-existent. Consequently, training in many organizations has been seen by line managers as a 'divorced' activity far removed from the realities of the mainstream activities of the business, often 'irrelevant', 'out of touch' and 'expendable'. In their report on the attitudes of British management to investment in vocational education and training commissioned by the then Manpower Services Commission and National Economic Development Office, Coopers and Lybrand (1985) revealed that 'Training Managers tended not to view their activities at the cutting edge of the competition of their firms, and nor do senior executives. In consequence training managers and departments tend to have a relatively low status within firms'. In light of this it should be no surprise that when times became tough for business organizations in the late 1980s and early 1990s, many organizations got rid of their training departments and staff.

It was around this time that Phillips and Shaw (1989) advocated that trainers should be developing a consulting approach to training. They proposed three development paths leading to the trainer roles of 'training consultant', 'learning consultant' and 'organization change consultant'. Barnham *et al.* (1988) also anticipated that 'training departments will [need to] more and more act as facilitator and advisor to line managers and individuals' and 'trainers will [need to] increasingly see themselves as change agents'.

Furthermore, Stewart and Hamlin (1990) strongly argued the case for trainers to face the challenge of ensuring training is relevant to management and the organization by

> concerning themselves primarily with the mainstream business of the organization and with live operational issues both at the level where the organization 'mission' is determined and where the knowledge and skills required for effective performance of the simplest task needs to be developed. The management of change presents this challenge in its clearest form. It provides trainers with the opportunity of making their most significant contributions, through facilitating the ability to confront the need for change: developing the ability of managers and others to cope with change and utilize change processes; and through developing the necessary knowledge, skills and attitudes to meet the consequences of change. Such contributions ensure trainers remain relevant to organizational performance and effectiveness. If achieved, change is more likely to lead to beneficial rather than detrimental outcomes.

More recently, Rosemary Harrison (1997) has argued that human resource development should 'no longer be seen as a specialism within HRM responsive only to immediate skill deficits' but that 'developing people must be a dynamic and strategic-led function which enables people to cope with unstable environments and drives the capability of the organization towards long-term innovation, profit-ability and growth'. Furthermore, as the management of change is a major theme in today's businesses, 'HRD practitioners must be able to advise on appropriate change strategies and on the learning experiences that can support them'. Similarly, HRD practice in the USA has only recently entered a state of transition, moving from learning to a performance paradigm (Bassi *et al.* 1996). As Holton *et al.* (1998) observe, 'if HRD is to be respected it needs to position itself as a strategic partner with line managers and achieve the same level of importance as traditional core organizational processes such as finance, production and marketing'. They argue that 'a performance improvement approach' will enable HRD to become a strategic partner, and this is best accomplished through consulting partnerships with line managers of the kind advocated by Robinson and Robinson (1995). Additionally, Ulrich (1997), in the light of the new competitive realities, believes HR professionals in general 'must focus more on the deliverables of their work than on doing it better if they are to face up effectively to the next agenda for competitiveness'. To this end, they need 'to become a strategic partner with line managers, an administrative expert, an employee champion and a change agent'.

However, the majority of trainers, developers and other HR professionals will continue to find themselves operating at the margins of organizational life unless, that is, they improve their 'credibility' in the eyes of line managers. But this may be dependent upon the five OCD 'omissions' and 'failings' of managers, as outlined above, being overcome. Unfortunately, traditional approaches to manager and management training and development do not adequately address these 'failings'. As Hamlin and Stewart (1998) claim, much of the management training and development that UK organizations invest in, whether off the job or on the job, is not that effective or beneficial, because it lacks a sound and sufficient empirical base. Drawing on the views of a wide range of expert commentators, they highlight the relative dearth of empirical research into the everyday 'practical realities of managerial life' and 'particularities' of effective and ineffective management applying in British organizations, not least in the area of bringing about beneficial organizational change. In contrast, evidence-based practice in the fields of medicine and healthcare is firmly established as an everyday reality. Hamlin and Stewart suggest that most management development in both Britain and the USA relies too heavily on the views of the classical theorists and modern-day 'gurus'. Hence the management approach and climate in many organizations is not conducive for trainers or developers to operate strategically as internal change agents, OD consultants or research-based HRD practitioners. This precludes the development of appropriate management development initiatives that could help managers to overcome their 'failings' and 'blind spots' concerning the management of change. A 'vicious circle' appears to be in play where the five OCD 'failings' of managers contribute to the creation of the 'credibility' problems of HRD/OD practitioners. These in turn lead to a lack of 'appropriate' HRD/OD effort incorporated into OCD programmes, which then fail to question the 'appropriateness' of the management development programmes offered to managers. Such programmes then fail to address and overcome the five particular OCD 'failings' of the managers and so the 'vicious circle' goes on *ad infinitum*, as illustrated in Figure 2.3. At the heart of this is a perceived lack of sufficient evidence and research-informed professional practice on the part of line managers, trainers, developers and other HR professionals.

It is clear from the above that the role and direction of HRD need to be strategically focused towards organizational change and development. This has significant implications regarding the future role of trainers, developers and other HR professionals. Potentially, HRD practitioners can make very significant contributions to organizational effectiveness and performance when given the chance to do so, as previously argued. Furthermore, when acting in a consulting capacity, whether as internal or external change agents, they can perform key roles in helping line managers achieve success in bringing about organizational change effectively and beneficially. Performing in an OD capacity they can perhaps have, as Warrick

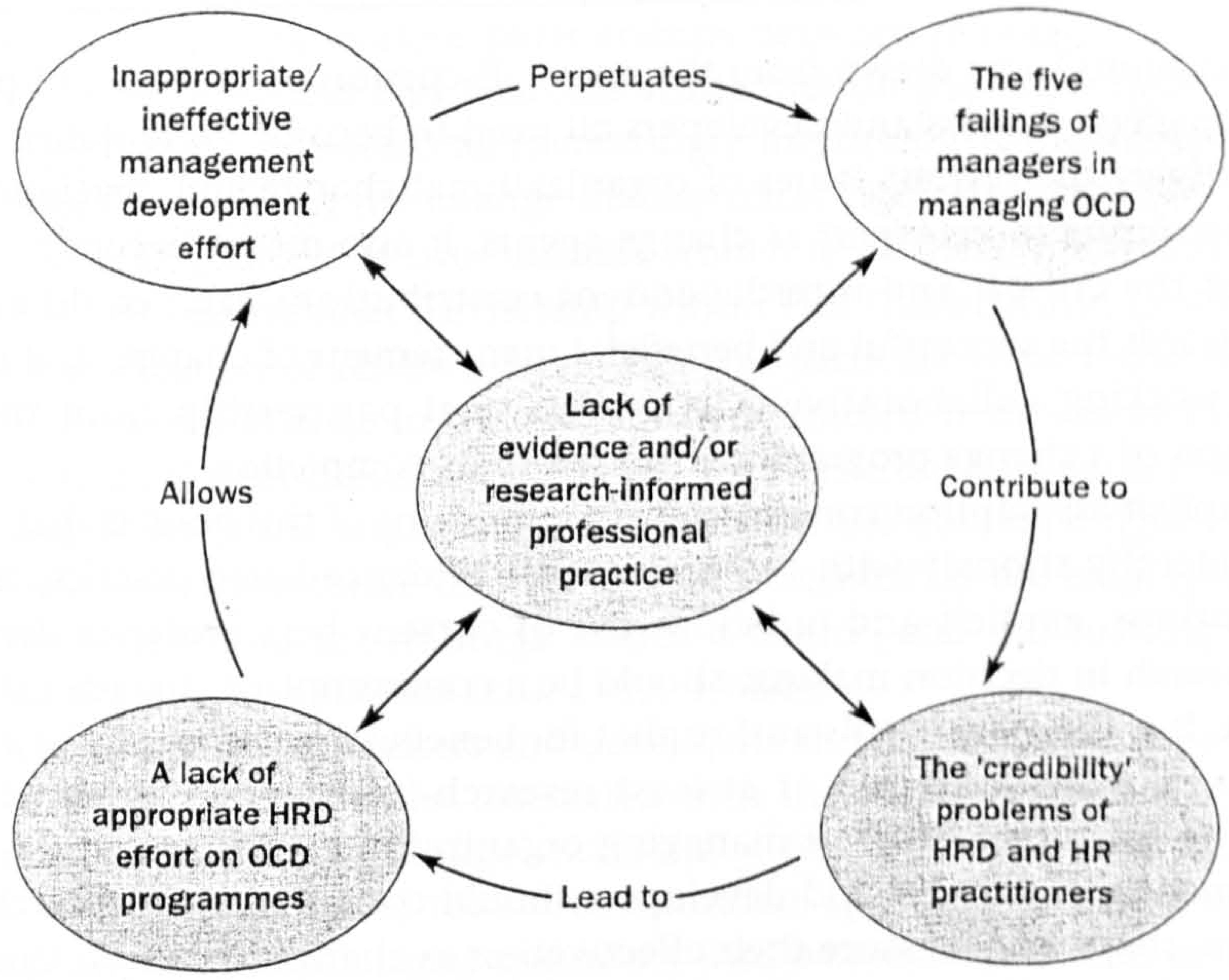

Figure 2.3 Management and organization development 'vicious circle'

(1995) claims, 'the greatest impact by helping organization leaders lead, champion change, and adopt a sound change process that is practised throughout the organization'. However, it is incumbent upon them to 'sell' to line managers the services they can offer and the critical contributions they can make. But it behoves managers to update themselves on modern-day HRD theory and practice, and to consider more seriously using the services of HRD professionals, integrating them more fully into the mainstream management of the organization. With regard to managing an organizational change and development programme, line managers are urged to include HRD and HRM professionals as members of the 'coalition' of key players who have responsibility for leading the change. Unfortunately, all too often they exclude them, as the research of Holland and Aitken (1999) suggests. Their study into 'Getting the best from IT-related change' revealed that 'at most, only a third of the IT-related change projects we looked at had significant HR involvement. There was little evidence of HR executives as business partners of their line colleagues'.

However, for collaborative business partnerships to come about, it is suggested that HR professionals, particularly trainers and developers, should engage proactively with managers in the processes of instigating and managing strategically led organizational change and development initiatives. Managers, trainers and developers, as well as their other HR colleagues, should be striving harder to work together professionally in strategic partnership for the purpose of ensuring maximum success in managing the process issues of organizational change and development.

CONCLUSIONS

The conclusions to be drawn from the above discussion of context and practice are clear. Managers, trainers and developers all need to become more skilled in managing effectively the process issues of organizational change and development. This means becoming more expert as change agents. It also means becoming more cognizant of the critical and interdependent contributions each could and should make towards the successful and beneficial management of change; and of the benefits of working collaboratively in professional partnership from the original conception of a change programme through to its completion.

An implicit assumption contained within the aims of this book is that most readers will identify strongly with the notion that evidence-based practice, namely the conscientious, explicit and judicious use of current best evidence derived from good research in decision making, should be a commonplace characteristic of management. It is the view of this author that for beneficial outcomes to be assured and maximized, evidence-based or at least research-informed practice will need to become an essential feature of managing organizational change and development. Hence, managers, trainers and developers should consider using research regularly to inform, shape and measure their effectiveness as change agents. As Quirke (1995) observes, 'the use of internal research as an instrument on the corporate dashboard' provides 'continual feedback that allows greater responsiveness' and helps 'to speed up the changing behaviour within organizations'. Several other UK writers have similarly argued the case for research-based approaches to management development, HRD and organizational change (see Jacobs and Vyakarnam 1994; Hamlin and Davies 1996; Hamlin and Reidy 1997). Similar arguments have been made in the USA. For example, Swanson (1997) exhorts HRD professionals to advance their professional practice by becoming truly expert practitioners through what he calls 'back yard' research; while Jacobs (1997) calls for collaborative partnerships between HRD practitioners and HRD scholars to integrate research and practice. More recently, Holton *et al.* (1998) have demonstrated how HRD research and theory, integrated into practice through a university–organization partnership, can enable an organization to advance and enhance its HRD practice significantly. A telling argument for research-based HRD practice in the post-industrial information economy has been put forward by Russ-Eft *et al.* (1997), who draw attention to the fact that it is human intellect, creativity and innovation which provide the basis for a successful organization. As a result, they argue that executives must manage this human capital to improve organizational performance and bring about organizational change, and to deploy HRD professionals who can provide the tools and methods in their roles as 'chief knowledge officer' or 'chief learning officer'. However, these HRD professionals must be aware of the relationships between individual learning and performance, team learning and performance, and organizational learning and performance. Hence Russ-Eft *et al.* strongly support Holton *et al.* in encouraging HRD practitioners to use current HRD research in these fields in order to enhance their professional practice.

It is a strongly held view of this author that reflective research-informed HRD practice, and active collaborative partnerships between managers, trainers and developers on the one hand and business academics on the other in conducting good internal research, will become increasingly important in the drive for excellence and expert practice in the change management field. From his own personal experience operating as one of two business academic partners in a recent collaborative HRD practitioner/scholar partnership within HM Customs and Excise (Anglia Region), the application of research-based OD was particularly powerful and effective in bringing about change in the management culture. It should be noted that the benefits and value of these particular OD interventions carried out under the visionary leadership of the regional head centred on the academic rigour and credentials of the internal research, its relevancy as perceived by the employees of the organization with whom the findings 'struck a chord', and the ensuing sense of ownership of the data (see Hamlin *et al.* 1997, 1999b).

In conclusion, managers, trainers and developers should recognize the complexities, contradictions and paradoxes associated with the change process and develop the skills required to manage change successfully: first the ability to diagnose and make sense of the organization; second to formulate appropriate change strategies; third to implement these strategies effectively and beneficially; fourth to critically evaluate the effectiveness of their contributions; and finally to draw lessons by reflecting upon their own good practice. These aspects of change agency are discussed in some depth in the following chapter. This provides an overview of 'best practice' approaches to organizational change and development, draws attention to some of the latest insights and provokes thought on the increasing complexities, contradictions and paradoxes of modern-day organizational life which challenge the role of the change agent.

As a final observation and comment arising from the review and synthesis of context and practice provided by this chapter, it is not unreasonable to contend that organizational change and development devoid of operating principles, theories and research to guide the OCD effort will tend to lead to poor practice and undermine the credibility of the change agent. Hence internal research should be considered an essential counterpart to OCD practice. This contention is explored further in the next chapter and is also illustrated by the numerous 'reflections on practice' discussed in Part III of the book.

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CHAPTER

Managers, trainers and developers as change agents

3

Bob Hamlin and Gron Davies

INTRODUCTION

As concluded in the previous chapter, managers, trainers and developers with responsibilities for bringing about organizational change effectively and beneficially, whether separately or in collaborative partnership, need to be appropriately skilled as change agents and reflective practitioners. The purpose of this chapter is first to provide an overview of what might be termed 'best practice' approaches to and 'received wisdom' on organizational change and development, as has been reported in the management literature over the past decade or so; second, to draw attention to some of the latest insights concerning how to bring about change successfully based on examples of more recent theory and practice; and finally to discuss the realities of modern-day organizational life which are not fully reflected in the literature, but which challenge the role of the change agent.

The tasks of the change agent are complicated by virtue of the increasing complexities, contradictions and paradoxes of organizations, as can be gauged from the personal reflections on practice revealed by Alf Hatton in Chapter 6 and from reading Ralph Stacey's book *Complexity and Creativity in Organizations* (Stacey 1996a). These tasks are, invariably, first to understand and make sense of the organization and what is going on; second to formulate appropriate change strategies; third to implement these strategies; and fourth to evaluate their effectiveness. Change agents should also make a conscious effort to reflect upon their own professional practice in order to draw lessons for the future. We acknowledge that organizations and the people employed in them are more complex than is often implied by much of the management literature, and that 'solutions' to organizational change 'problems' are also more difficult to grasp than many 'experts' imply. Therefore, we stress here that change agents need not only to be very selective in the theoretical approaches they use to inform and shape their practice but also that they need to build into their organizational change and development programmes sufficient time for review and reflection. From such reflection new theoretical insights can be gained as to why particular aspects of change programmes either succeed or fail. Also, new ways of approaching the problems of change will emerge through the development of new 'theories' informed by the change agent's own professional practice. Furthermore, because organizational change settings are far more complex than is often supposed, we argue the case for change agents to incorporate research activities into their professional practice for the purpose of better informing, shaping and evaluating what it is they do. The practical importance of internal/in-company research cannot be over-estimated. Conducting internal research itself is a process which can help make change occur. It can, when conducted with appropriate academic rigour, lead to deep-seated fundamental issues concerning the effective functioning of the organization being brought to the surface and being confronted: for example, those aspects of managerial behaviour and management culture which impede or block organizational change and innovation. In-company research that is recognized and accepted by people within the organization as being relevant, rigorous and of a high ethical standard is likely to 'strike a chord'. As a result, they are more likely to admit in public both the effective and ineffective features of organizational life, including their own individual performance or behaviour deficiencies (see Hamlin *et al.* 1997, 1999). Also, they are more likely to advance personal 'theories', reactions and opinions, which otherwise would not be revealed. Such research gives HRD/OD practitioners the evidence required to 'hold a mirror up to the organization' that will 'reflect accurately' the truth and realities of organizational life. This view is supported by Bruce and Wyman (1998). In discussing 'action training and research' as a method for developing changing organizations, they suggest that 'practitioners can help people address organization taboos they may have about discussing certain organizationally sensitive issues' by acting as 'an organizational mirror [that] can reflect such issues into the action research arena that otherwise may not be addressed'.

Being able to think and act like an academic researcher gives the practitioner, whether manager, trainer or developer, the additional skills and disciplines required to be a true expert in their own field of change agency practice. This implies having the capability to obtain consistently the results required by the organization, rather than regularly getting lost in the processes of organizational change and development as advocated or prescribed in the literature. As mentioned in Chapter 2, evidence and research-informed practice should become an essential feature of managing organizational change and development.

Reflecting on the 'emerging waves and challenges of change' that confront organizations, and the 'need for new competencies and mind sets', Morgan (1988) suggests that one of the challenges for managers is to create semi-permanent order out of turbulence. Handy (1989) indicates that the major problem in the future will be dealing with what he calls discontinuities in organizational environments. Whether we like it or not, this future is the present reality for many, if not most, organizations. Hence the need to develop a deeper understanding of the challenges to be met as organizations change and develop.

THE ORGANIZATIONAL CHALLENGE

From speculations developed in the late 1980s, various management consultants, 'gurus' and business academics have advocated the need to develop different forms of organization (Peters 1988; Drucker 1988; Handy 1990; Champy and Nohria 1996, among others) and these have led practitioners to develop a more robust orientation to strategic management. One of the implications of this type of management thinking has led to greater emphasis on the development of strategies for changing organizations. The focus for change through the 1980s to the present has shifted progressively from that of stressing values of efficiency to one where efficiency, quality, flexibility and innovation as managerial value imperatives have become the common experience of those currently in work. Employees, as a collective in the working environment, are being exhorted to become more efficient, more quality-oriented, more flexible and more innovative – in order to keep costs down and so ensure organizational survival and dynamism. Commonly, people at work are being forced or encouraged to adapt the ways they work and behave, and to accept different ways of being organized and managed in order for the organization to gain a competitive advantage. This transformation of working practice, and of organizational and managerial thinking, has implications for people at work, especially those involved in training, development and/or management.

The implications for trainers, developers, OD consultants and other HR professionals are particularly potent. In the past there has been much practical confusion about the role of the trainer and of the training department, as indicated in the previous chapter. Often the function has been located and subordinated within a more amorphous personnel department, or has found itself separated and peripheral to the main activities of the business. As such this functional subordination and separation has frequently affected the way that the deliverer of training has been involved in the change management process or in the development of people and of the organization. At best, the trainer may have been involved in dealing with human resource issues and policies, with training being delivered within that involvement. At worst, the trainer will have mechanistically delivered training within some policy vacuum – where training has been seen by the organization as an end, not as a means of realizing a part of a coherent organizational strategy.

This quasi-debate about the relative role, value and importance of the training function as opposed to the more generalized, policy-driven personnel function has been overtaken by the practical implications of organizations actively pursuing change. The continual pursuit of organizational change, which has become a common phenomenon for most organizations, calls for training, development and HR in general to be everyday line management tasks, as Hamlin argues in Chapter 2. Managers, not just HR specialists, need to be actively engaged with the human resource development (HRD) aspects of change in particular, as well as being active as change agents and reflective change practitioners. There is an increasing recognition by trainers, developers and managers that HRD must be a dynamic, strategic, business-led, values-driven function which meets the needs of the organization in its drive for competitive advantage, survival and long-term success, whether selling products in the commercial world or providing value-for-money services to the community.

Organizations, most of which are in a state of permanent change, need HR specialists who can think and act strategically. It is within this different orientation that the role of people within the HRD function is changing such that trainers and developers need to adopt a different set of expectations concerning new and different roles. A full discussion on and exploration of the emerging concept of HRD/strategic HRD (SHRD), and the implications for trainers, developers, managers and staff with regard to the changing expectations and demands on their respective roles and relationships in HRD/SHRD, can be found in Walton (1999). Similarly, the HR function generally is having to focus increasingly on organizational change issues. This means more personnel and HRM generalists are also having to take on the consultancy role of the internal change agent (see Wallace and Ridgeway 1996; Ulrich 1997). As change consultants, HR professionals are becoming more involved with top management in formulating and implementing organizational change strategies.

As already implied, this chapter aims to make clear to managers, trainers, developers and other HR professionals that the quality of their decisions concerning the effective management of change will be of crucial importance within the context of rapidly changing organizations. We believe that a fuller understanding of these newer consultancy roles involves them in taking a stance which can be best understood as that of the 'reflective practitioner'.

For the purposes of this chapter, our ideas concerning the reflective practitioner refer particularly to managers and HR professionals who are given the scope and have the expertise to operate strategically, who have a practical involvement in the formulation, implementation and evaluation of change strategies, who have the skills to develop people to meet the strategic objectives of the organization, *but who are mindful of the need to reflect on their respective contributions to the change process.* This raises a number of issues, the immediate one being that in order for them to transform and transcend their previous roles they must be conversant with current theory and practice concerning strategic thinking, organizational change and the role of the change agent. This means they need to understand theory in order to apply and evaluate it in practice – the traditional argument being that theory informs practice, where the extent to which this is a useful and practical conjunction is dependent on the quality of different kinds of reflection concerning the change process or problem. Furthermore, they need to evaluate their own effectiveness as change agents. Reddin (1985) defines managerial effectiveness as 'the extent to which a manager achieves the output requirements of the position'. Similarly, change agency effectiveness could be defined as 'the extent to which a change agent achieves the required outcome requirements of his or her respective role' in the organizational change process. As already implied in the preceding paragraphs, to be effective as a manager or facilitator of change, the change agent needs to be able to understand the particular organization, to devise or be involved in the formulation and implementation of an appropriate strategy for change, and also to evaluate the effectiveness of that strategy. In what follows, we deal with these as discrete categories but with the understanding that the change agent needs to think processually. The categories, therefore, make up phases in a process of change within which any one organizational change programme has been 'rationalized'.

ORGANIZATIONAL UNDERSTANDING

Organizational understanding, or making sense of an organization, is regarded as being of crucial importance because structure, function and their relationship to the core activity of the organization (the culture) need to be analysed in depth before effective strategies for change can be devised. Crucially, such analyses create a 'set of critical/analytical spectacles' through which the organization can be 'looked at', where the method of 'looking at' the organization will affect the way in which change agents should act to initiate and manage change subsequently. Theoretical models and conceptual frameworks provide the change agent with the 'practical tools' for creating suitable 'spectacles' through which to understand and make sense of the organization. Incorporating rigour into practice similar to that of the academic researcher also enables the change agent to use these 'spectacles' expertly.

Historically, academic analysis of organizations has embraced the theories of social scientists, psychologists, biologists, information theorists and anthropologists. In attempting to understand organizations, the field of study has moved from an original industrial/business focus to a wider application, including analyses of private, public and voluntary sector organizations. The theory, which is designed to inform thinking about organizational practice, has become the study of organizational behaviour, which is now theoretically eclectic and diverse. The main problem confronting the change agent is that, as often as not, there is a conflict between the 'implicit' theories of the individual based on practice and the different requirements needed to develop rigorous analytical, strategic thinking, which by its nature is more abstract and difficult to apply. This tension between the 'practical 'and the 'academic' may be real because in our experience there tends to be a gap between theory and practice. The HR professional or manager is being asked to 'fill the gap' when taking on the role of change agent.

In what follows, we give very brief descriptions of the assumptions behind the main theoretical perspectives of organizational behaviour as a field of study, and state how these can provide a focus for the study of organizations. We then state what the change advocated by the theory implies for change strategies in an organization when 'looked at' through these particular sets of 'critical/analytical spectacles'.

Mainstream theoretical perspectives

- 'Structural functionalism' perspective
  - Organization: A set of structures within which people are directed to function.
  - Analysis: Analyse both the formal and informal structures of the organization and focus on conflict, particularly between managers and workers.
  - Change: Change the structures and hence the functions in order to reduce conflict in the organization.
- 'Human relationships' perspective
  - Organization: A network of patterned relationships, where the pattern is determined by the organization.
  - Analysis: Analyse the needs and motives of individuals in order to understand the conflict between organizational goals and individual needs.
  - Change: Facilitate change so that organizational structures and functions more readily meet the needs of the individual.
- 'Psychodynamic' perspective
  - Organization: A psychodynamic defence against anxiety.
  - Analysis: Analyse the individual's projections, rationalizations, dependence and counter-dependence behaviours.
  - Change: Facilitate the individual to realize the implications of defensive behaviour and then implement these realizations for behaviour by creating different structures and functions in the organization.
- 'Systems theory' perspective
  - Organization: A hard system of variables (within and across functions) interacting with soft variables (people) in organizations.
  - Analysis: Analyse the organizational systems but understand that any part of the system analysed will be affected by the other parts, systematically.
  - Change: Change parts of the system but understand that this change will have systematic effects on the other parts of the organization making up the whole.
- 'Contingency theory' perspective
  - Organization: A set of systems and subsystems, which are dependent on the particular contingencies of the system or subsystem.
  - Analysis: Analyse the organizational systems of management and attempt to understand how these systematic features of the organization are contingent upon the nature of the organizational tasks and the organizational environment.
  - Change: Change the contingencies within the system to develop the most appropriate management system and structure.

- 'Action frame of reference' perspective
  - Organization: A network of actively constructed meanings.
  - Analysis: Analyse the interactions within organizations to establish the meaning of the interactions from the participants' point of view, in order to understand the rules which govern organizational behaviour.
  - Change: Change the rules which inform behaviour so as to change and transform the meaning of the organization for the individual.
- 'Cultural, ethnographic and metaphorical' perspectives
  - Organization: Interpreted as a constructed, distinctive, symbolic culture.
  - Analysis: Interpret the symbolic significance of the actively negotiated, shared symbols and meanings in the organization by understanding the emergent pattern of interactions and meanings from the point of view of the members of the organization.
  - Change: Change the meaning of the symbols within the culture of the organization.

Other perspectives

There is a view that many of the theoretical perspectives identified above are mechanistic in terms of the way the analytical approaches based upon them are applied. This has been contrasted with an organic approach to understanding features of organizations. Buchanan and Boddy (1992) differentiate between 'crisp' rules of authority as features of mechanistic organizations, and 'fuzzy' rules associated with organic authority structures. Another distinction that is being drawn by academics is between the modern, mechanistic organization and a post-modern critique, which develops ideas concerning the post-modern organization (Hassard and Parker 1993). These analyses tend to be academic in nature, but the mechanistic/organic distinction is part of recent organizational analyses and studies of change management processes.

In using different approaches for understanding organizations, Hallworth (1994) argues a case for combining the best of the 'hard' systems perspectives – through understanding organizational structures and systems – with the best of the 'soft' systems perspectives – through understanding motivation, team development and HR as utilized in the concept of re-engineering learning processes. This approach focuses on those key processes that are dynamically interlinked and which have a significant influence on organizational change, namely business strategy, organizational culture and organizational learning. Further, the idea of understanding organizational learning is also gaining currency. Handy (1989) suggests that new knowledge-based organizational structures will and must evolve as practical tools for facilitating organizational change. Pedler *et al.* (1991) and Swieringa and Weirdsma (1992) have developed concepts concerning the need to understand organizations as learning environments. Walton (1999) explores in depth a full range of organization-wide issues embracing the organizational learning implications of TQM and various notions of the 'learning organization', 'corporate university' and 'virtual organization' among others. Hence, the idea of an organization actually learning to create opportunities for its employees to learn how to adapt to change has clear implications regarding what is meant by learning, and who the learning is for.

More pragmatic approaches to organizational analysis and understanding have been developed from a business strategy perspective. This has tended to frame or map the organization in relation to practical, managerial understandings of particular organizational functions, which need to be understood practically. The understanding gained then acts, drives or guides subsequent pragmatic strategies for change. Good examples of this are Galbraith's organization design variables (see Robinson 1992) and the McKinsey 7S's conceptual model, which strongly advocates the need to understand strategy, structure, systems, style, staff, skills and shared values. Another is that advocated by Harrison (1988), who suggests that an analysis should include reference to the organizational environment, organizational goals and tasks, structure, technology, workforce and political system. Similarly, Trahant and Burke (1996) suggest the analysis of the external environment, mission, strategy, leaders, culture, structure, management practices, systems, policies and procedures, work climate, skills and job match, motivation, individual needs, values and performance. Reddin (1985) advocates as an important first step the analysis of the organizational philosophy and the influences shaping that organizational philosophy.

These pragmatic approaches to organizational analysis, which appear much favoured and advocated by consultants and academics alike, are based on the assumption held by most managers that successful change is primarily concerned with establishing a new order, of moving the organization from a comparatively 'unhealthy' to a more 'healthy state', and of maintaining a degree of 'fit' between the configuration of the strategy, structure and systems of the organization and the external environment. Furthermore, such approaches are based on a mechanistic perspective, which views change as an incremental process of adjustment comprising a series of logical, interrelated sequential steps from a present 'undesired' stable state to a future 'desired' stable state. Another assumption is that the destination for the change is clear. In comparatively stable environments such incremental changes are possible. However, in rapidly changing environments the value of the mechanistic approach to organizational change is less certain, and for organizations adapting to turbulent and volatile environments it can be inappropriate.

Based on the findings of empirical research, Miller (1990) and Pascale (1990) argue that whereas outstandingly successful organizations exhibit strong tendencies to develop configurations of strategy, structure, systems, style, culture and other aspects of organizational design in order to achieve consistency, harmony and internal 'fit' leading to integration, stability and a 'state of stable equilibrium', these strengths are at one and the same time the cause of their downfall. At first, such configurations may be a source of success but, as Miller's research revealed, organizations tend to give way to the forces for integration ('fit') by continuing to develop such configurations to excess. This then leads to organizations failing by becoming ossified and incapable of changing easily. Pascale reached similar conclusions. He argues that successful organizations have to strive to achieve 'fit' between the 7S's of the organization, but at the same time they must also be ready to break apart, differentiate, decentralize, innovate and develop new perspectives to prevent ossification. Such simultaneous displays of 'fit' and 'split' create tensions which creatively provoke inquiry and questioning, and produce, through organizational learning, new organizational configurations better suited to the changed environment. However, Pascale also revealed that some organizations pursue differentiation with such persistence to the point of instability and a 'state of unstable equilibrium'. This results in disintegration and failure. Hence, he argues, organizations which strive to maintain a 'state of equilibrium', whether of the stable or unstable kind, will inevitably fail. Organizational success is thought by Pascale to be strongly related to maintaining the contradiction between 'stability and integration' on the one hand, and 'instability and disintegration' on the other. This sense of organizational chaos with which organizations need to contend is fully discussed by Stacey (1996a, 1996b), who has applied chaos theory and the 'science of complexity' to organizations. He invites members of organizations to work at developing a whole new frame of reference (or set of critical/analytical 'spectacles' as we would call it) for seeing, analysing, understanding and making sense of organizational life.

Morgan (1993), drawing on theory emerging from the study of termite behaviour, provides metaphors for rethinking managerial behaviour in organizations. The 'termite' theory suggests that termite mounds are created from the random chaotic activities of termites guided by what seems to be an overall sense of purpose and direction, but in an open-ended manner. Using this as a metaphor, Morgan suggests that managers who operate as 'strategic termites' have clear aspirations about what they would like to achieve but, rather than trying to 'force fit' their vision, or direct and control a situation, instead they manage in a much more open-ended way, encouraging and allowing durable initiatives to emerge from the evolving situations being faced. They exhibit incremental and opportunistic approaches to change management. Such managers are strategic in the sense that while their activity is open to the influence of random opportunity in a chaotic environment, decisions and actions are always informed by a strong sense of what they ultimately want to achieve.

Clearly, the difficulty the change agent encounters is that of making a decision concerning the appropriate form of analysis when faced with such a diverse body of pragmatic and theoretical forms of knowledge. The problem becomes more acute when there is conflict between locating the analysis in theoretical terms as applied in the different theoretical perspectives, models and conceptual frameworks identified above, and adopting a more grounded approach. A grounded approach is eclectic, rooted in current experience and has direct functional consequences for the type of change strategies to be adopted. Consultants, 'gurus' and academics influencing practice tend to agree that the analysis of the organization must take place as the important first step. The understanding gained from the analysis acts as the ground stone for the development and implementation of appropriate strategies for change. It can be likened to that of front-end evaluation, or the first and starting point in an integrated evaluative framework. Within this traditional understanding of the first practical step to be taken, decisions made regarding the formulation of appropriate change strategies need to be a function of the reflections of the practitioner. Reflective practitioners make a habit of using theory to inform and shape their practice as the means of consistently obtaining high-quality results.

STRATEGIES FOR CHANGE

Currently, strategic management is undergoing a re-examination in terms of its assumptions and implications. As referred to earlier, Stacey (1996a, 1996b) applies chaos theory and the science of complexity in trying to develop an alternative form of thinking about strategy. He is convinced that other methods do not work, because of the rational, predictive assumptions that strategic managers have made in the past. Johnson (1987), however, suggests the strategic approach has developed different perspectives which have been applied to different organizations in the past. He distinguishes between rationalist, adaptive and interpretative views. A rationalist view is seen as the outcome of a sequential, planned search for an optimum solution to predefined problems, with implementation following on from the decisions made about such problems; an adaptive view is one which is incremental, and the problem solution evolves as a result of the monitoring of an incremental additive pattern; and an interpretative view is one in which strategy is seen as the product of individual or collective sense-making.

Buchanan and Boddy (1992) suggest that any devised plan for action must take into account an appropriate time span into the future; must see change as a process and not an event; and must make reference to the internal and external context of the organization. They advocate the use of rational strategies for planning and implementing change within the organization, yet they also suggest that change agents need to recognize rationally that change is chaotic. They characterize the chaos of the internal, organizational environment in terms of continuously changing organizational agendas and priorities, the discontinuity of the management task, and the occurrence of unexpected organizational events.

Unfortunately, the organizations that people experience at work do not fit into ideal types. If they did, it would be easier for the management 'myth makers' to be more prescriptive about what is necessary in the planning of organizational change. However, our experience and knowledge of the world indicates that organizations have been devised for different purposes to meet different kinds of objectives and therefore they do not constitute an ideal type. Consequently, the change strategists, when developing their particular strategies, are having to recognize that the possibilities for change are dependent on whether:

1 The change is incremental over time and involves changing the core objectives of the organization.
2 The change is incremental over time and involves changing the peripheral objectives of the organization.
3 The change is radical/major over time and involves changing the core objectives of the organization.
4 The change is radical/major over time and involves changing the peripheral objectives of the organization (after Buchanan and Boddy 1992).

Clearly, the type of change being considered and how the change is going to be implemented will have different consequences for the people in the organization and for their patterns of work. For instance, both private and public sector organizations are currently applying 'off-the-shelf' strategies for change to meet quality and efficiency objectives. ISO 9000 has been adopted by a large number of organizations as part of a drive towards total quality management (TQM). Furthermore, in manufacturing, many organizations have attempted to develop *kaizen* strategies of continuous improvement in order to change working practices, cut costs and increase the quality and competitiveness of their products, whereas other organizations have implemented change strategies based on the principles of business process re-engineering (BPR). However, as discussed in Chapter 2, a very high proportion of these change programmes have failed and have led to unintended and unwanted consequences.

To counter such failures, a recent feature of organizational change programmes has been the emphasis given to developing a strategic focus of change based on ideas concerning the learning organization. For instance, Swieringa and Weirdsma (1992), as well as identifying features of learning and the learning organization, suggest that change comes about according to the 'trekker model'. This can be parodied as '... even though we do not know precisely where we are heading and certainly not where we will finish up, we choose a direction and off we go'. They suggest that 'change will take place in a common, collective learning process in which thought, action, reflections and decisions interchange with each other'. West (1994) echoes this by suggesting that organizational effectiveness 'is increasingly dependent on developing an environment which fosters learning and the sharing of information as a foundation to deal with uncertainty'. This kind of approach, which is concerned with the development of managers and rests heavily on the long-term commitment of organizational leaders, is increasingly being adopted in different kinds of organization. Franklin (1996), who strongly criticizes the formulaic 'right approach' to strategy, shows how the empirical and practical efficacy of different forms of strategic thinking are fatally flawed. However, he suggests that strategic practice involving planning provides managers with a basis for organizational learning.

It seems to us that a number of underlying problems exist concerning ideas about strategy, strategic direction and the future of organizations. What appears to be held in common is that most of the reported approaches for bringing about strategic change, whether formally prescribed or advocated in academic texts, or the result of the practical experience of managers and consultants, tend to indicate that either the planning of change or the change process itself is problematic. Clearly there are implications for the reflective practitioner. Bearing this in mind, we will now consider a number of these perceived problems concerning the effective management of change.

STRATEGY IMPLEMENTATION

Appropriate organizational analysis and knowledge of the characteristics of a proposed change strategy are crucial for ensuring that the strategy becomes successfully implemented. This belief is one that is increasingly being shared by organizational change consultants, academics and researchers and has gained currency to counter the common managerial practice of picking a change strategy 'off the shelf' and then implementing the strategy as by a recipe. A recognition is growing that the discontinuities of organizational life are continuous, that the change advocated will be likely to increase the discontinuities, and that the change processes implemented need to be constant and continuing over long periods of time. Organizational change cannot be a formulaic 'quick fix' if it is to be implemented successfully. Advocates of the 'quick fix' have developed recipe implementation formulae, which have frequently had unfortunate implications. For example, early developments in the field of organizational change and development rested heavily on the work of Lewin (1958). He suggested a three-stage model, which was applied originally to explain change in small groups. Lewin argued that implementation should proceed in three stages: the first involves unfreezing the existing 'undesired' organizational state as reflected in the attitudes and behaviours expressed in the organization; the second involves changing these attitudes and behaviours in the desired direction; and the third stage involves re-freezing these changed attitudes and behaviours so that the new 'desired' organizational state will be maintained, permanently.

This model has been refined by Johnson (1990), who argues that the implementation strategy can be regarded as a series of symbolic acts to be utilized by the change agent. These are shown in Table 3.1.

These models imply that organizations are not in a state of flux and implicitly assume that the change process is discrete rather than continuous. Therefore, their applicability seems dubious, particularly as they assume, metaphorically at least, that people in organizations 'can be taken out of refrigerators, changed, and then put back to be frozen permanently'. Furthermore, Johnson's model is not clear as to what is being symbolized, although the symbols may signify a particular type of 'totalitarian' leadership. Both models lack an ability to be generalized because they may not apply in all circumstances. They reflect the psychology of small group behaviour in the case of Lewin, and the imperatives of the privatized utilities in the case of Johnson.

Table 3.1 Implementation strategies

Change agent acts	*Change agent behaviour*
Unfreezing	Challenge current ways of doing things, close down parts of the organization, move people around
Flux	Foster conflict and dissent through open argument
Information building	Set up task forces, use consultants reports, commission special reports
Experimentation	Devise management development training programmes, signal change with new product displays, services and other departures from the previous ways of doing things
Refreezing	Send signals of irreversible and permanent change, through celebrations and new key appointments

Another form of strategy implementation is to apply conventional organizational development (OD) models to realize the strategy for change. However, Harrison (1994) suggests there is a need for change agents to move beyond the traditional OD model because it is based on a narrow view of organizational effectiveness. He identifies how training and small group interventions of the kind favoured by OD practitioners have often failed to come to terms with organizational politics and culture. He also indicates that where OD interventions have been appropriate, they have only yielded minor, incremental improvements in organizational effectiveness, as opposed to the sometimes radical transformations required to recover from crisis and decline (Dunphy and Stace 1988). However, based on extensive research Heracleous and DeVoge (1998) have demonstrated that an 'integrated organizational model' based on an action research paradigm, which integrates OD into strategic management and the strategic change process, is 'a powerful tool for diagnosis, action planning and implementation of strategies'.

Stacey (1996b) claims that the basic OD model and mainstream models of change strategy implementation, with their emphasis on the concept of linear and negative feedback systems, do not take adequate account of the complex dynamics of organizations caused by the effects of positive feedback and non-linearity. Hence, he argues, OD interventions designed to bring about, for example, large-scale culture change often fail, the main reasons being:

- OD effort provokes and reinforces powerful organizational defence routines that are difficult to identify and deal with.
- OD education and training programmes which try to get people to expose and question the values of the existing systems, upset people and arouse management fears of losing control. This leads to reduced commitment.
- OD programmes that do succeed in dispersing power, weakening central authority and spreading participation and teamwork can set off positive amplifying feedback loops, which lead to greater peer rivalry or passive loyalty, both of which block or undermine creativity and decision-making ability.

- OD programmes, by being what they are, inevitably raise anxiety levels. This is because they are about major organization-wide change, which alters people's power positions and jobs. Higher uncertainty levels and higher anxiety levels inevitably provoke positive feedback loops of unconscious behaviour which blocks effective functioning. This results in organizational defence routines and unconscious defence mechanisms against anxiety.

Another problem appears to be one of implementing strategy in particular contexts 'made up' by the power and the politics of the organization. Buchanan and Boddy (1992) suggest that change agents need to develop 'backstage' political skills to manage the process. They should constantly analyse and monitor the politics in a change situation, develop the political strategies necessary to counter the political moves of others in the organization, and gain support for the change. As will be understood, the change agent would need to become skilled at dealing with the managerial and other barriers to change. We will not deal with the problem of overcoming the barriers to change, except to indicate that Carnall (1990) identifies what the personal, group and organizational 'blocks' to change are. In many instances the biggest problem of implementation involves the politics of people in organizations, the cultural issues and the differences between people. As a result, there are a number of change models in the management literature which emphasize these different aspects of the change process.

From our experience and research we conclude that there is no one best way for all change contexts. Different strategies need to be implemented to satisfy different change criteria dependent on specific organizational situations. However, specific to healthcare, Edmonstone (1995) suggests there is an emerging consensus with regard to effective strategy implementation. He states that the knowledge and skills of individuals are reinforced by recurring work activity; that the primary focus for change should be behaviour within a network of roles, relationships and responsibilities at work; and that effective change usually starts 'bottom-up' not 'top-down'. On the other hand, Gould (1996) claims that for businesses in general it much depends on the wish of organizational leaders acting as change agents when making choices with the intention of navigating change. He suggests that depending on particular strategically defined situations change agents can act in a number of alternative ways. Furthermore, they can act to conserve and continue present practice, preserve and build on current practice, revolutionize and brutalize practice in times of crisis, or innovate through transformation.

It appears there are issues here concerning the efficacy of different forms of strategy, and debates in practice as to whether 'top-down' as opposed to 'bottom-up' implementation strategies are more appropriate. However, neither Edmonstone nor Gould give consideration to the very significant impact that organizational leaders have on change processes. (We discuss this in the next section.)

Another issue, which has been much discussed in the management and professional literature with regard to implementation strategies, concerns changing the organizational culture. Clearly, if culture is defined as employee attitudes and behaviours (Drennan 1992), there are implications that the reflective practitioner may need to understand. Azjen and Fishbein (1980) make a convincing case demonstrating that there is little relationship between attitudes as measured and subsequent behaviour. As a result, it may be important for change agents to focus on changing behaviour and beliefs about behaviour as an outcome for change implementation strategies, rather than attitudes, values and other associated internal states which are referred to in the management literature. Clearly, behaviour change is the major outcome intended in most change strategies; changes in the culture may follow.

This view is supported by the work of Schneider *et al.* (1996), who draw attention to the fact that organizations often go through cycles of attempting to bring about change without achieving success. They suggest that the reason for the failure is a possible relationship between organizational culture and climate. However, in creating a climate and culture for sustainable organizational change they advocate that culture can best be changed through a focus on the organizational climate.

As implied by the foregoing, it is important to recognize that issues concerning strategy implementation are complex. The agent for change must have a clear idea of the type and time scale for the change to be implemented, the importance of the change within the overall objectives of the organization, and how much the change to be adopted will be disruptive of behaviour and of beliefs about behaviour. The change agent needs to develop the skills of leadership, of managing 'up', 'across' and 'downwards' depending on the organizational structure, and of developing organizational and political 'nous' in order to manage the process in terms of the power and politics of the organization. Furthermore, the change agent must constantly analyse, reflect and monitor the politics of the situation to develop appropriate political strategies which enable the change to take place within the political support system. This includes the leadership of the organization. We believe that if these highly specific contextual issues are identified, reflected upon and managed, one set of managerial barriers to change will have been removed, more or less.

We suggest the change agent should think strategically about how to implement a change strategy, bearing in mind the specific characteristics of the organizational environment. The classification of the type of strategy to be utilized is important, but he or she needs to work practically within the boundaries of what the organization is, and then reflect on that constantly. The whole process of implementation must be managed effectively – all of the time. This implies the need to 'perform' across the different levels of the organization in order to facilitate the change process at the individual, group and organizational level. This also implies that the change agent needs constant support from the leadership of the organization – otherwise, if this is not forthcoming and is not continuous from the start of strategy formulation through to strategy implementation and evaluation, the change strategy will fail. However, to prevent failure being contemplated spuriously the change agent needs to be able to evaluate the effectiveness of the change strategy that has been implemented.

EVALUATION OF CHANGE EFFECTIVENESS

There appears to be a lack of literature concerning the problem of evaluation, which Jane Keep explores in Chapter 5, yet paradoxically change is still advocated as a 'good thing'. Carnall (1991) has reported the reasons for the failure of change implementation strategies in 93 organizations, which appear to relate to different types of organizational feature. They are:

- Implementation took more time than originally allocated.
- Major problems surfaced during implementation which had not been identified beforehand.
- Co-ordination of implementation activities was not effective enough.
- Competing activities and other crises distracted management from implementing the change decision.
- The capabilities of employees involved were not sufficient.
- Training and instruction given to lower-level employees was inadequate.
- Uncontrollable factors in the external environment had an adverse impact on implementation.

Carnall goes on to suggest that the effectiveness of change strategies can be evaluated if appropriate questions are asked concerning the people, finance, marketing, operations and business development over time. However, the analysis reported above is of necessity de-contextualized. It may be that identifying contextual reasons for the failure of strategy implementation would be more powerful in developing the management ideology. Dunphy and Stace (1988) argue that the effectiveness of the change may depend on whether the change strategy is participative or forced, and whether the transformation involved will be charismatic or dictatorial in terms of the authority, power and leadership characteristics shown by the management involved in the changes advocated.

We believe that if HR professionals and line managers are going to take on the mantle of change agents, they must be placed in a position of being able to contribute to the process of strategic decision making concerning the effectiveness of the organization into the future. This is a different way of saying that those responsible for the formulation of mission statements and business plans should involve those who will have to implement such decisions. However, as Ulrich (1997) argues, it is incumbent upon HR professionals to position themselves as 'strategic partners' with top managers so they do become involved as members of the senior management coalitions held responsible for the formulation of business strategy and its translation into action. To do so requires them to learn to perform disciplined organizational analyses and diagnoses, and to conduct these collaboratively with top managers to turn strategy into action. The use and value of a 'deep' analysis as advocated in this chapter is the derivation of a series of effectiveness/ineffectiveness statements concerning individuals, groups and the organization itself. These will enable the change agent, whether manager, trainer, developer or other HR professional, to monitor and reflect upon the effect of the change strategy envisioned in discussions of organizational strategy. In the process of business planning, the organizational analysis made will act to enable appropriate effectiveness criteria to be tested out in practice, once the change is in process. We believe the change agent must adopt the stance of evaluation at the beginning of the planning process.

The problem of evaluating strategies for change needs to be recognized as one of the most under-reported issues in the British management literature. There are plenty of exhortations on the need to change organizations and, as indicated in the preceding chapter, considerable literature on how to change organizations. But there are only a few longitudinal studies effectively evaluating change processes in different organizational contexts. This may be because the problem is seen as a research issue. However, the implication for managers, trainers and developers operating as change agents is that they have a need to address the problem using appropriate evaluative and research skills to validate claims that could be made in relation to the success or otherwise of a change strategy. (See Davies 1996 for an introduction to research skills specifically for HRD specialists, and Swanson and Holton 1997 for a broader-ranging introduction from an American perspective.) Interestingly, in their discussion on using 'action research' in the study of organization and management, Bruce and Wyman (1998) advocate that 'rather than simply bringing in professional behavioural scientists and industrial engineers to study the people working, action research also seeks to provide the people involved in the action being researched with the tools they need to participate in researching the action themselves'.

There has been recently an increased emphasis in the management literature on the effectiveness of different types of leadership and its influence on the effectiveness of organizational change and development programmes. This implicitly assumes that the failure of change strategy implementation and evaluation is a failure in leadership. Hence there have been efforts to examine effective leadership in the context of change innovations. For instance, Binney and Williams (1995) explore the myth of managing change by contrasting mechanistic views with organic views of the process, and locate the problem of effectiveness within the ambit of organizational leadership. They claim that organizational change will only be achieved when successful leaders face up to the paradox of giving away power in order to become more powerful, and of listening to become more forthright. This view is developed within the context of internal and external analysis of the leaders' particular environment and the development of a clear, practical vision based on the internal and external realities. In stressing the importance of learning by doing, Binney and Williams construct a view of changing organizations by 'leaning into the future'. With regard to using 'action training and research' (AT&R) for changing organizations, Bruce and Wyman (1998), draw on the experiences of a wide range of key people who practised action training and research in developing their respective changing organizations to argue that:

> leadership of the AT&R project must always remain with the people in the organization. One of the major pitfalls for AT&R practitioners is to assume a leadership role, just to get the project started. If the practitioner is unsuccessful in transferring leadership to the organization, the commitment to the change program will probably leave when the practitioner leaves ... AT&R can be useful in organizations with any variety of management styles and cultures. Clearly, less participative leadership styles and authoritative values are not conducive to supporting change, least of all from the bottom up. However, that is the challenge of the AT&R method. (p. 77)

Essentially, the views of both Binney and Williams (1995) and Bruce and Wyman (1998), based as they are on reflections concerning the experiences of consultants and practitioners, could be dismissed as mere exhortation. However, more empirically based studies are also indicating the importance of the organizational leader.

Jones and Gross (1996) contrast the effectiveness of leadership styles in two Australian public sector organizations. They show how the different leadership styles of the two chief executives were reflected in the particular change strategies adopted, the one being a 'top-down' and the other a 'bottom-up' approach. In both cases, effective organizational change was achieved. Evaluating these changes, Jones and Gross conclude that the differences between the achievements in the two organizations were reflected in how the leadership in the one case was prepared to force change to a timetable, and in the other to facilitate change through time. However, it appears that the type of change strategies advocated by the two organizational leaders were not particularly relevant in defining the effectiveness of the change achieved. Rather, it was the constant expression of their personal commitment to change. Similarly, Hamlin and Reidy (1997) show that the commitment and continued support of an executive head to a longitudinal research study into organizational culture, which he commissioned as part of an ongoing organizational change programme, created the climate for effecting significant changes in what had become a maladaptive management culture.

From this it is apparent that in order for principles of change and change management to be formulated in a particular organization, managers, trainers and developers need to be prepared to evaluate constantly their change agency practice against change effectiveness criteria. These need to be negotiated with organizational leaders, whose active interest, involvement and support are important. Visionary leadership from the top is often the key factor for success. To conclude, we look at the implications in the foregoing for the role of the change agent.

IMPLICATIONS FOR THE ROLE OF THE CHANGE AGENT

What has been said in the previous sections will give cause for reflection and reappraisal, particularly for those whose function is currently that of trainer, developer or training manager. Recent changes in their respective roles have been fuelled over the past decade by the important realization of the need for modern-day HRD practitioners to be specialists not only in training and development focused on resolving immediate organizational and individual skill deficits but also in the disciplines of organizational behaviour, organization development and strategic human resource development focused on the creation of long-term competitive organizational capabilities. Organizations need the services of HRD (and HRM) professionals who can operate effectively as change agents in collaboration with line managers, and who are capable of taking appropriate action reflectively. As has been implied, the changing roles of managers, trainers and developers have clear implications for the development of new sets of skills and abilities in the area of change management. These are discussed in some detail in Chapter 4. However, we wish to draw particular attention here to the work of Buchanan and Boddy (1992) and Carnall (1990), which identifies a range of competencies considered necessary in order to develop expertise as a change agent. We suggest that the emphasis placed by these authors on role expectations will be helpful to anyone wishing to acquire the necessary skills. We would add, however, that they underplay the role of the change agent as an internal consultant, in which capacity he or she must clearly work in order to initiate, modify and maintain the change process. Burgoyne (1990) identifies features of the successful client–consultant relationship in a practical fashion, stressing that the client needs to be helped to take responsibility for the change. The consultant as change agent should also support and confront the internal client about the appropriateness of the action being advocated. Rose and Kennedy (1996) suggest there is an ethical dimension to this activity whereby consultants need to be aware of the confidentiality involved in such a relationship. Other ethical dilemmas confronting change agents are explored by Jane Keep in Chapter 5. On becoming 'strategic partners' with line managers helping organizations respond to change initiatives, process changes and culture change, Ulrich (1997) stresses the need for HR professionals to 'provide leadership in improvement practices' within the organization, and sets out what they and managers need to do in mastering both the theory and practice of change management. Wallace and Ridgeway (1996) also provide valuable insights into the leadership of strategic change through a number of 'change leadership concepts' derived from their research findings. In addition, they present a range of 'best practice' case studies and self-assessment instruments to help managers and HR professionals develop their capacity to lead change successfully in what is a chaotic world. They have identified eight types of 'change leader', each requiring a different sets of skills and expertise, namely the 'Visionary Leader'; the 'Influential Leader'; the 'Facilitative Leader'; the 'Leading Change in a Crisis Leader'; the 'Leading Change in a Developmental-Participative Way Leader;' the 'Leading Change Where the Organization Needs New Vision Leader'; the 'Leading Change in a Flexible Manner Leader'; and the 'HR Manager as a Strategic Change Influence Partner'.

As already mentioned in Chapter 2, Quirke (1995) advocates the use of internal research as a potent tool for change, while Ormerod (1996) argues the need for consultancy to be supported by research. Furthermore, Jacobs and Vyakarnam (1994) call for strategically led research-based approaches to management development, while Hamlin *et al.* (1997) argue the case for strategically led research-based organizational change and development.

A further consideration is that change agents ought to recognize that there is a psychodynamic associated with the change process (see Neumann *et al.* 1997, who consider in some depth psychodynamic approaches to organizational consultancy in rapidly changing conditions). Any change creates stress and anxiety; this is because as human beings we deal individually with uncertainty in different ways. It is important that HR professionals and managers alike develop support networks in order to cope with the stress that can be created by the differing pressures associated with the change agent role. Carnall (1991) is helpful in identifying a psychological process which accounts for different behavioural and performance variations through the change process. He suggests that individuals and groups in the organization will experience differential effects on performance because of the effect that the change process will have on role expectations. New systems, new procedures, new processes and new ways of behaving will have to be learned, which will take time and will reflect a learning curve. When these new behaviours are being learned the effects of 'progression' will need to be anticipated. What this means is that modifications will have to be developed to deal with 'snags' as they arise in the change process. Carnall suggests that significant organizational change will have differential organizational effects on the self-esteem of different individuals in the organization as they become affected by the implications of the change.

The change agent must be aware of these implications in terms of the significance for behaviour of direct change processes, and also of the associated psychological processes. Carnall describes these processes in relation to stages; the first being denial of the need to change, successively followed by stages of defence of the old ways of doing things, a discarding of these old behaviours by the majority before adaptation to the new changes, followed by a stage of internalization of the change behaviours. Therefore, change agents need to understand, and get their organizational leaders to understand, that whatever the strategy of change being advocated happens to be, the change process needs time: time for planning, time for implementation, time for evaluation, and also time for reflection in order to take account of the vagaries of the psychological processes that organizational members and change agents will inevitably experience. The points made here are reinforced and further illuminated by the reflections on actual change agency practice from the various reflective practitioners who have contributed to Part III of this book.

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CHAPTER 11

Towards research-based organizational change and development

Bob Hamlin

ANALYSIS

As you will appreciate, the insights embedded in the reflections on change agency practice of the various contributors to Part III of this book are many and varied. One might have expected as much from a diverse range of practitioners who have been involved with such a wide range of OCD programmes operating at different levels in different types of private, public, voluntary and not-for-profit organizations. What is of particular interest is the degree to which many of the insights are the same or similar. This may be surprising to some readers, bearing in mind the fact that most of the contributors are unknown to each other. Of the few that are, most have met or exchanged words only once, and then only at a single meeting convened by the co-editors of this book to discuss the guidelines for writing their respective reflections on practice, which they subsequently produced independently. An analysis of their collective insights reveals several 'lessons', from which a number of generalized insights and conclusions can be drawn concerning effective change agency practice. In general, these lend support to the arguments presented by the authors of Part 1 and Part II of this book and of various authors on change management to be found in the more recent literature. In particular, they help also to illuminate to a greater or lesser extent certain stages of the 'generic model of organizational change management' illustrated in Chapter 2.

The most striking observation from an analysis of the various 'reflections on practice' in Part III is the significance placed by a large majority of the contributors on communicating with all stakeholders for the purpose of securing common ownership, commitment and involvement.

This feature and focus of attention in practice seems to have been deemed of critical importance. Drawing on the reflections of the strategic change leadership team in First Engineering, Alison Thomas highlights the importance given to eliciting the views of 'all stakeholders including customers and clients as well as the workforce' in order to 'get them to understand what is being planned, to establish in their minds the principle of ownership and to foster their commitment'. This aspect of change management is echoed by Paul Turner of Lloyds TSB, who strongly argues that 'people need to be seen as the absolute priority', and that one must 'communicate with all stakeholders'. Based on her change agency experience in the healthcare sector, Jane Keep refers to the need 'to involve as many stakeholders as possible', and to allow them to 'see things for themselves', while Ken Ash in manufacturing strongly advocates the need to involve employees in order to 'identify accurately the need for change', in this case the need for team-working. In the public sector, Graham Smith describes how 'circulating a synopsis of the [change] plan to every employee' of the Contract Services Department of Sandwell MBC had been a key factor in the success of the change process. And Margaret Reidy in HMCE draws attention to the strategic change leadership of the then CEO of the HMCE (Anglia Region), Dick Shepherd, who continuously 'informed, consulted and supported his people through the changes' he initiated.

In the Netherlands, 'using the right approach for securing the active involvement of the workforce in the formulation and ownership of the change strategy, and their individual and collective commitment to its implementation', were seen by Professor Jaap Germans as being significant factors in the ultimate success of the EZH organizational change programme for which he had key responsibilities as a strategic change leader. Whatever approach might be used for securing common ownership, commitment and involvement, Prudence Clarke concludes from her experiences as an OCD consultant working in the metal and plastic components industry that 'employees [can and will] accept and work effectively within constant change as long as they know where change is taking them'.

For many, securing the active commitment, involvement and participation of senior to middle managers was pivotal. For example, in First Engineering Lesley Imrie, the New Horizons project manager, believed the deliberate 'participation of senior managers at [the] early stage was a shrewd move'. In hindsight, Mike De Luca, the outside OCD consultant from the Coverdale Organisation, admits he 'could [and should] have done even more work at this level'. It is interesting to note that in his role as executive head of HM Customs & Excise (Anglia Region) Dick Shepherd took great pains to 'involve his senior and middle managers and to empower them'. Engaged as an outside OD consultant by the Education and Community Services Department of Sandwell MBC to look at the training implications of developing anti-racist practice, Jane Hatton draws attention to how important it was to 'secure the ownership and commitment of everyone, especially middle managers'.

Working as an internal change agent in the Contract Services Department of the same organization, Graham Smith describes the pivotal role of middle managers in 'leading the change and spreading it down, up and laterally'. The damaging consequences of a lack of ownership at the middle management level was all too clear in Ken Ash's reflections. In contrast, as the external facilitator helping a managing director to bring about organizational change in two manufacturing plants of his metal and plastic components company, Prudence Clarke observed the critical factor leading to the greater success of the one plant was the active supportive leadership of the respective management team. Their style of leadership was one of 'developing open and continuous dialogue, following through with positive and constructive feedback, giving praise when due, and learning from past experiences'.

Securing top management commitment and support is also a key focus in the reflections of several contributors. Vince McGregor, reflecting upon the highly successful and widely publicized OCD programme in British Aerospace (Prestwick), which he helped facilitate, argues the success was due in large part to 'senior people at the centre of the organization holding the necessary influence and championing the change'. Having a member of the strategic management team as a lead officer of the IIP change initiative in Sandwell MBC was, as Graham Smith reports, 'a critical success factor' for, as he argues, 'without a committed and determined managing director and the support of senior management the whole process would have failed'. The absence of such commitment caused Peter Mayes to conclude 'you need top management commitment', though Nick Kemp quite rightly reminds us that although 'change is driven by pressures from the top' we need to be clear as to 'who the top is' as perceived in the mind's eye of the respective stakeholders you seek to change.

Nick discovered it is important for trainers and developers to find this out at the earliest stages of a change initiative, particularly if you are employed at the 'centre' of an organization and tasked to help get corporate policies implemented in the various subsidiaries or 'outreach' extremities of the business. Perceptions of 'who the top is' are determined by stakeholders themselves and can be strongly influenced by parochial or internal political perspectives, perhaps also shared with or dictated by their immediate managers. These perceptions can be widely at variance with one's own perceptions.

Jane Hatton is another contributor who found from her experiences in Sandwell MBC and elsewhere that 'the success of change programmes in organizations [in this case implementing anti-racism policies] depend largely on the commitment to the programme from those at the top'.

Securing appropriate top management commitment and support can sometimes be exceedingly difficult, particularly when the preferred and espoused management style of the top manager is incongruent with what 'best practice' calls for. As Julie Knowles discovered when attempting to introduce *kaizen* in the care sector organization where she was employed, the 'autocratic perfectionist' style of the manager impeded the change process, which called out for a more 'supportive and stimulative style' of management. Although there was a belief that *kaizen* could and should be implemented, its success was 'more dependent on the ability of both the management and employees to adapt to a more empowering, democratic and cross functional' management style.

Each of these 'generalized insights' attest to the crucial importance of giving sufficient attention to stage 4 of the 'generic model of organizational change management', namely 'secure ownership, commitment and involvement including top management support'.

The specific overarching lesson to be learned from the reflections in Chapter 7, all of which were concerned with transformational and cultural change programmes, includes 'being clear, consistent and open with regard to what you are seeking to achieve, setting clear strategic objectives and sharing the vision'. For example, Paul Turner of Lloyds TSB discusses the key part played by the 'Fit for the Future' briefing document which was a central plank in the change strategy for bringing about as smoothly, effectively and as painlessly as possible the merger of Lloyds and TSB. As part of his five-year business plan and change strategy for HMCE (Anglia Region), Dick Shepherd communicated extensively with his people, not only by publishing and promulgating his 'Painting the Picture' document and its subsequent updates but also in holding regular 'road shows' around the Anglia region for people to speak out to him face to face.

Peter Grice, commenting on his longitudinal study of three organizations in the man-made fibres industry, stresses the need to 'capture the hearts and minds of all employees and give them the motivation and opportunity to contribute to their full potential; also to endorse this success externally'. Interestingly, Prudence Clarke concluded from her observations in the metal and plastic components company that 'leadership can be seen as the "painters" of the company mission picture to secure the support of all their employees and gain their ownership of the "changing" process'.

These 'lessons' reinforce the importance of stage 2 of the 'generic model', namely the need to 'create a strategic vision' and to promulgate this extensively and effectively throughout the whole organization.

Nine of the contributors saw 'recognizing and addressing the real problems or root causes of problems, including the cultural dimensions' as a key factor in determining the effectiveness of their change agency practice. Jane Keep drew attention to an example where the sponsor of the OCD programme, in her case the CEO of an NHS trust, wanted her to bring about structural change. But her initial OCD initiatives soon revealed 'deficiencies in the managerial behaviours and skills of the managers to be the problem, not the organizational structure'. Similarly, Ken Ash, being tasked to help line managers bring about planned 'top-down' structural change in the manufacturing firm where he was employed as an HRD specialist, identified the real need as that of changing 'the cultural and behavioural issues as reflected in the attitudes, philosophy and style of leadership' in the organization. The need for senior managers to 'change their language and behaviour' was seen by Vince McGregor in British Aerospace as an essential component of the strategic change programme in that company; and in First Engineering the 'cultural element was seen as an integral part of everything' they did.

For Graham Smith in Sandwell MBC the major challenge was that of changing the 'attitudes and behaviours' associated with ' the existing culture', which Jane Keep also found to be 'the difficult issues ' in the healthcare sector. When culture is recognized as the key issue in a change management programme there is, as Professor Jaap Germans observes, a 'temptation to give more emphasis to this than to the structures and systems issues'.

However, the change agent needs to give equal attention to both. Even so, dealing with the 'soft' people and cultural issues before the 'hard' issues may be necessary, as Margaret Reidy observed in HMCE. These 'lessons' clearly illustrate the importance of investing enough time and effort at stage 1 of the 'generic model', which is to 'diagnose/explore the present state and identify the required future state'. They also remind us of the need to diagnose accurately and in sufficient depth the 'beneath the surface' problems, particularly the 'soft' cultural and people-related problems such as people who are very difficult to deal with, who present obstacles, who create impasses, or are likely to be working either overtly or covertly to sabotage the change process. As Jane Keep and others suggest, sometimes it is necessary for the change agent during stage 1 to be prepared to 'discuss the undiscussable' and 'think the unthinkable'.

A common conclusion and generalized insight emerging from the experiences of several of the contributors illuminating stage 5 of the 'generic model', which you will recall is to 'project manage the implementation of the change strategy and sustain momentum', is that of giving enough time for the OCD programme to take root and succeed. Paul Turner of Lloyds TSB concluded that 'a structured and long-term programme of incremental change may prove more effective in guiding the culture of an organization in a broad direction'.

This viewpoint is supported by Mike De Luca: when reflecting on the change programme in First Engineering, he concludes 'You must prepare for a lengthy crusade. When your strategy is to involve as many people as possible, it takes time. The process of learning from experience takes more time. A successful change programme is a long-term project'.

In a similar vein, Jaap Germans observes that one needs to 'give sufficient time to explaining and stressing to the workforce the new business realities, and securing their commitment and sense of ownership for the change strategy'; and Jane Keep concludes that stakeholders need to be allowed 'to work their own way through to a conclusion'.

The contribution that the HR function can make and the strategic role it can play in bringing about transformational change are well illustrated in three of the reflections on practice. In his role as a strategic change leader helping bring about the merger of Lloyds and TSB to form Lloyds TSB, Paul Turner describes how HR 'acted as a partner to the respective business units and functional heads in advising on the human aspects of the change, as change facilitators', and as HR functional specialists 'ensuring excellence in [the associated] administration'. In these roles it provided the top management team with the necessary understanding of the critical success factors for change, carried out the organizational analysis and survey feedback work and supplied the administrative support required during the change process. These roles are similar to the four multiple roles that Ulrich (1997) argues HR professionals should perform as part of the next agenda for adding value and delivering results, namely the roles of 'strategic partner', 'administrative expert', employee champion' and 'change agent'. It is undoubtedly the case that Peter Shields performed all these roles in his capacity as HR director of the bulk pharmaceutical manufacturing company in Ireland which is the focus of his reflection on practice. In British Aerospace, Vince McGregor draws particular attention to the fact that the HRD function 'was part of the change team to address the soft skills in the change management process'.

A striking feature that appears common to most of the 'reflections on practice' is the explicit or implicit reference to the role of learning in the change management process and the need for a no-blame culture. Chris Newis, reflecting on his personal experiences in the not-for profit sector, strongly recommends the creation of 'no-failure/only learning' environments, which he considers to be 'the only insurance policy against failure' of change programmes. Nadine Green discusses the value of action learning, while Peter Grice, commenting on his experience as an external change agent and outside observer for the three man-made fibres manufacturing companies featured in his reflection on practice, provides ample evidence of the benefits of investing in learning as part of the change process and of using the concept of the 'learning organization' as a vehicle for change. The 'learner-centred approach using experiential learning for individuals' and 'the moving away from a negative blame culture to a more proactive and problem-owning culture' were considered to be the critical success factors. As he reports, the adopted change strategies led directly to 'organizational learning and subsequent improvements in business performance' in all three companies. However, he argues, 'the process must contain the reflective part of the [Kolb learning] cycle with as much emphasis being placed on it as on the "doing" aspects'.

Being reflective has been considered by many of the contributors to be a very important feature of their respective change agency practice. For example, Jane Keep talks about the need for the various stakeholders 'to have time to reflect and the space for things to make sense'. However, as Jaap Germans points out, the change agent needs 'a range of theoretical and conceptual frameworks at his/her fingertips in order to give managers [in particular] the language that enables them to talk about and reflect' upon the problems within the change situation, and to evaluate critically their own change agency practice.

Chris Newis extols the 'value of honest self-appraisal', though this might require 'assigning to oneself a mentor', which Jane Keep does regularly as part of her professional practice and which, in hindsight, Jaap Germans admits he should have done in EZH.

For me the most significant insight to be gained from the Part III reflections on practice is the emphasis and importance that many of the contributors have placed on the value of conducting internal research as part of their change agency practice. The notion of evidence-based practice, which according to the definition of Bury (1998) is 'the conscientious, explicit and judicious use of current best evidence in making decisions', is well established in the fields of medicine and healthcare. Hence it should not be surprising that Jane Keep, who was working in an NHS trust environment, adopted an 'evidence-based' approach to her change agency practice bearing in mind the existing organizational climate, which 'valued the importance, relevance and significance of good research'. She recognized the need for an in-depth investigation into the deep-seated issues that needed to surface. She then used the findings to form the basis of subsequent OCD interventions. Her long experience as a successful OCD consultant tells us that 'successful change is based upon developing a real understanding of the factors and issues that exist in the organization, and is about basing your approach on a clear understanding of the outcomes you want to achieve'.

A similar approach was adopted by Dick Shepherd, executive head of HMCE (Anglia Region) who commissioned in-depth, academically rigorous, ethnographic, longitudinal and empirical research into the culture of the organization. Its purpose was to provide him with a better understanding of the culture, and to help inform, shape and measure the cultural changes he wanted to bring about. In his own words, he found this research 'to be of enormous value in bringing about cultural change'. Other contributors also refer to the value of internal research.

Vince McGregor used research to reveal the 'soft' issues that needed to be addressed in the British Aerospace strategic change initiative, and Chris Luty also engaged with research to help inform his change agency practice in the context of the Training Suppliers Network in the West Midlands. Jane Hatton talks about the importance of 'research in establishing accurately the current situation and the in-depth issues that need to be addressed' and also of the 'value of research-based training'. As she observes, people often question and challenge the assertions of external trainers or developers. However, when your training interventions 'are not based on your outsider assumptions but on the picture painted by a group of employees [as revealed through your internal research], you can defend more effectively your training decisions. In her area of specialization she tells us that 'denial is common on training programmes, especially in the field of equal opportunities; but denial is made more difficult when faced with the findings of relevant, robust and rigorous internal research'.

This is what Dick Shepherd and Margaret Reidy discovered as part of their change agency experience in the Anglia region of HMCE as illustrated by the following citation from another source:

> Whereas in the past Anglia people had not always responded well to organizational change initiatives involving external consultants who used external research (to influence change) or adapted off-the-shelf OD instruments that failed to ring true, they were willing to move forward with cultural change through the impact of HRD interventions based on the in-house research initiated by Dick Shepherd. This was because the research findings 'struck a chord', based as they were on the localized experiences of Anglia people expressed in their own words. The findings presented an accurate picture of the actual realities of management practice as experienced and observed within the organization, both the 'good' and the 'bad'. (Hamlin *et al.* 1998)

A research-informed approach was central to the non-adversarial organizational change strategy adopted by Peter Shields as HR director to 'overcome the robust opposition of the workforce' and to 'move through the total impasse' which risked the survival of his company's pharmaceutical manufacturing plant in Ireland. It should be noted that the key 'lesson' learned from his reflections on his company's success in breaking the impasse and subsequently moving quickly to the desired new state was that 'repeated real-time audits [internal research] and interventions are necessary to maintain the widest involvement, to debate emergent problems, to test perceptions of the progress being made, and to review commitment'.

'Further research' is what Prudence Clarke concludes 'should have taken place [for her] to gain a better understanding of the overt and covert governing values permeating through Plants 1 and 2' of the client organization where she was acting as an external OCD consultant for the managing director of the company. As she states, 'In retrospect I should have approached the assignment initially with more of an emphasis on addressing cultural change', which called for a research-based approach.

These examples of research-informed OCD programmes give recognition to the value in adopting an evidence-based approach and lend support to the calls made in Chapters 2, 3 and 5 for a closing of the research–practice gap in the field of organization and management.

DISCUSSION

As can be inferred from the above, and also from Chapters 2 and 5, the task of the change agent is far more complicated than is often supposed. This is due to the fact that modern-day organizations and people are far more complex than is often portrayed in much of the popular management literature. 'Solutions' to organizational change 'problems' are far more difficult to grasp than those offered by many 'experts' and 'gurus' on change management.

In arguing the case for evidence-based management in the field of healthcare, Axelsson (1998) observes that much of the management research of the past two decades has been 'aimed at understanding different aspects of organizational life with little or no ambition (as in the field of medicine) to draw any practical conclusions on the basis of their result'.

From his wide-ranging and historical study of the management research literature, he concludes that:

> Instead, most researchers point out that very few of their results can be generalized from one organization to another. It is difficult to escape a feeling of resignation in this research on organization. The field has been left wide open for consultants and different charlatans to influence managers with their fashionable models of organization and management. The scientific ground for all these models is weak, but they have been widely spread and applied in the management of many different organizations, also in healthcare management. Thus, after nearly a hundred years of research on organization and management, the practical knowledge in the field seems to be back almost on the same scientific level as when the research started. This is a sad development compared with the many other fields where research has been more cumulative and its results are continually enriching and improving practical knowledge.

Around this time, other commentators were also commenting on the lack of a sound and sufficient empirical base in the field of organization and management (see, for example, Hamlin and Stewart 1998), while some were extolling the desirability of evidence-based practice in the field of management (see Stewart 1998).

In light of all the foregoing it is suggested that change agents should become very selective in the theoretical approaches, models and concepts they use to inform and shape their decision-making and change agency practice. They should emulate the model of evidence-based medicine by encouraging and developing a strong research culture and questioning approach, and building into their organizational change and development programmes sufficient time for review and reflection. From such reflection new theoretical insights may be gained as to why particular aspects of managing change either succeed or fail. New ways of approaching the problems of change management may also emerge through the development of new 'theories' informed by the change agent's own professional practice.

To assure maximum effectiveness, research-informed and evidence-based practice ought to become an essential feature of the process of managing organizational change and development, because as Axelsson (1998) reports, 'when Evidence Based Medicine was [first] introduced [into the field of medicine] physicians found very soon that they could improve the quality of their decisions so much that it was well worth the time and effort spent'. In the same way, managers, trainers and developers should find that a research-informed approach leads to an improvement in the practice of management as illustrated by the various contributors to this book. They should be looking for support for their decisions in the empirical evidence from management research and their critical appraisals of it, rather than from the popular management literature. This means basing their decisions on the complex results of good management research rather than the simple 'quick fix' recommendations typical of some consultants and management gurus.

The practical importance of academically rigorous internal/in-company research cannot be over-estimated. Conducting internal research is a process which can help make change occur. It can, when conducted with appropriate rigour, lead to deep-seated fundamental issues concerning the effective functioning of the organization being brought to the surface and being confronted.

For example, such an issue is those aspects of managerial behaviour or management culture which impede or block organizational change and innovation. In-company research which is acknowledged as being rigorous, relevant, robust and ethical, can 'strike a chord' inside organizations, thereby enabling people to admit in public the ineffective as well as the effective features of organizational life, including their own performance or behavioural deficiencies and inadequacies. The particular reflection on practice in Chapter 7 contributed by Margaret Reidy, which briefly describes Dick Shepherd's commissioning and use of internal research as part of his change strategy in the Anglia Region of HM Customs & Excise, fully attests to this assertion (for more details of this internal research programme over time, see Hamlin and Reidy 1997; Hamlin *et al.* 1997, 1998, 1999.) Being able to think and act like an academic researcher gives the change agent, whether a manager, trainer or developer, the additional skills and disciplines required to be a true expert in their own field of change agency practice. This implies having the capability to obtain consistently the results required by the organization rather than getting lost in the processes of organizational change and development.

I advocate strongly that managers, trainers and developers should use sound research to inform and shape their practice as change agents, and to measure their own effectiveness in this role. As Heracleous and DeVoge (1998) claim, research-informed OD can help to 'provide crucial clarity to management on the strategic objectives (of organizational change), on the critical success factors linked with each objective and the actions required to achieve each CSF, which thereby eliminate unrelated and wasteful change initiatives, and lead to more effective and efficient change management'.

However, the question needs to be asked, 'How might this become a commonplace feature of OCD practice, particularly in the area of strategic organizational change?' This brings me to the proposition that OCD collaborations and partnerships between OCD scholars and OCD practitioners can lead to the production of robust and rigorous internal research capable of providing the empirical base necessary to ensure the efficiency and effectiveness of the OCD effort.

In Chapter 2, I referred to various calls for more research-informed approaches in HRD and OCD (see Jacobs and Vyakarnam 1994; Davies 1996; Hamlin and Davies 1996; Quirke 1995; Stewart 1996; Hamlin and Reidy 1996, 1997; Hamlin *et al.* 1997). Based on this experience and the evidence presented in the above reflections on practice, I believe active engagement with internal research by OCD practitioners, preferably in collaboration with OCD scholars to reinforce the academic rigour, is a vital requirement in this field. The key point is that collaborative OCD partnerships between business academics and practitioners, coupled with the support of a top manager, can lead to a strong empirical base of evidence that will enhance significantly the relevance and effectiveness of OCD practice.

As mentioned briefly in Chapter 2, Swanson (1997) in the USA has advocated that HRD professionals should 'advance their professional practice by becoming truly expert practitioners' through what he calls 'backyard research' because, as he claims, 'HRD void of operating principles, theories and good research to guide the HRD effort leads to poor professional practice and undermines the whole credibility of HRD'. Jacobs (1997) has argued that 'the HRD field depends on research being considered an essential counterpart to practice, not an optional activity when convenient nor an extravagance when financially possible', and strongly advocates HRD collaborations between organizations and universities.

However, these should be 'professional partnerships' in which the 'partners' recognize that HRD scholars and HRD practitioners enter such partnerships with their own respective goals, that although these may differ they will complement each other, and that maintaining the integrity of the goals for the common good is important. Thus, in 'HRD professional partnerships', there is a dual goal to advance the HRD field and improve the organization through the findings and application of rigorous internal research. Experience in the UK also suggests HRD professional partnerships can provide the means for closing or bridging the HRD research–practice gap, which, by so doing, increases the chances of improving the 'success rate' of strategic change initiatives (see Hamlin *et al.* 1999).

Building upon the ideas of Jacobs and several tentative ideas generated by a group of OD/HRD academics and practitioners attending the UK-based University Forum for HRD 1997 annual conference, I have devised a 'conceptual framework' to illustrate the connection between 'OCD professional partnerships' and the 'OCD research–practice gap' as shown in Figure 11.1.

The narrow outside 'boxes' to the left and right of the model are there to remind us that the joint research effort is not a 'service contract' but a 'collaborative partnership' in which all partners achieve what they want from the research.

The narrow outside boxes at the top and bottom of the model illustrate the connection between the respective 'stakeholders' who are jointly involved in the active processes of research and consultancy. These need to be relevant, rigorous, robust and ethical if they are to lead to outcomes of maximum value to the interested parties. The large box to the left of centre of the model endeavours to illustrate 'professional partnerships' in which OCD scholars from universities, in collaborative partnership with OCD practitioners, conduct internal organizationally related research to an academic standard. As evidence-based management becomes as firmly established and commonplace as evidence-based medicine, it is envisaged that more and more practitioners will use and/or engage themselves in empirical research as an 'everyday' component of their own professional practice as in the medical profession. Research-informed/evidence-based reflective practitioners in business are likely to become the norm rather than the exception, not least in the

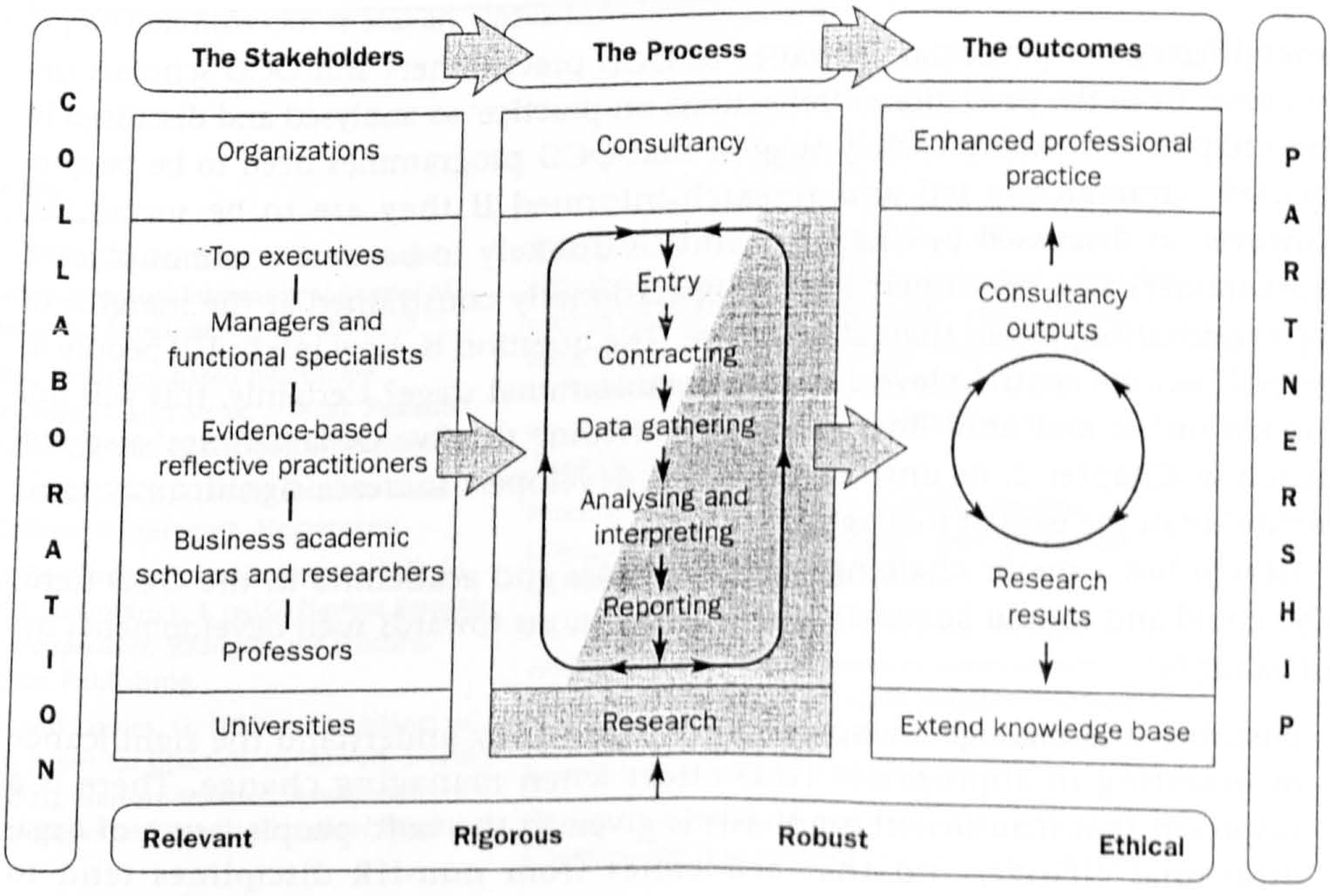

Figure 11.1 Closing or bridging the OCD research–practice gap through OCD professional partnerships

field of managing organizational change and development. The large box at the centre of the model draws attention to the cyclical nature of the processes for conducting internal OCD research and OCD consultancy. These are very similar, if not identical, and follow a 'common' sequence of stages from contracting to reporting. The outcomes from the research/consultancy activities as illustrated in the large box to the right of centre of the model are perceived to be mutually reinforcing. At the outset of a change initiative, 'best evidence' derived from empirical research as reported in the management literature is used to support decisions regarding the initial formulation of the OCD programme. This might mean building an 'internal research' component into the change strategy to obtain additional empirical evidence specifically relating to the particular contextual setting of the organization.

The findings of this internal 'academic' research resulting from the OCD professional partnership is then used to inform, shape and enhance the professional practice of the OCD practitioners, as well as provide research data that can be used to add to the field of knowledge. At the same time, and as a by-product of the OCD consultancy practice, certain outcomes in the form of observations and other data can be used for academic research studies, thereby helping to contribute to advancements in the field of knowledge and of professional OCD practice, but only if both the research and the consultancy practices are sufficiently relevant, robust, rigorous and ethical.

CONCLUSIONS

Several lessons of particular relevance to OCD practitioners and OCD scholars can be drawn from the practitioner 'reflections on practice' as analysed and discussed in this chapter. For example, they suggest that OCD programmes need to be people-focused, strategically led and research-informed if they are to be successful. However, as discussed in Chapter 2, this is unlikely to become commonplace if most trainers and developers remain operationally constrained at the margins of the organization, rather than at its centre. The question is, how might HR people in general become central players on the organizational stage? Certainly, this will not happen unless and until line managers overcome the five OCD 'failings' also discussed in Chapter 2, or until trainers and developers increase significantly their credibility in the eyes of managers.

Herein lies a major challenge for professors and academics in the OCD field, who could and should be making key contributions towards such developments by, for example:

1 Ensuring line managers who study for MBAs fully understand the significance of investing in appropriate HRD effort when managing change. There is a suspicion that insufficient emphasis is given to the 'soft' people issues of organizational change, and that academics from non-HR disciplines tend to undervalue the critical contribution of HRD and HRM professionals. Perhaps greater emphasis should also be placed on helping line managers recognize the

value of becoming reflective evidence-based practitioners who use research to inform their decision making, and who get involved in the research process through professional OCD partnerships.

2 Ensuring that HRD and HRM practitioners develop the necessary skills to operate with competence, confidence and credibility at strategic levels in organizations through the process of continuous professional education and development. This includes helping them develop expertise as internal consultants, change agents, strategic organizational facilitators, and also as research-informed/evidence-based reflective practitioners.
3 Considering doing more applied research focused on enhancing professional OCD practice as well as advancing the OCD field of knowledge.
4 Recognizing the potential of OCD professional partnerships for generating academically rigorous OCD research that is more relevant and of greater interest to managers, trainers and developers than some of the research currently published in the OCD literature.

Finally, more managers, trainers and developers might wish to consider the idea of forming OCD professional partnerships with OCD scholars as a means of enhancing their change agency performance through strategically led, research-informed practice. However, this might mean top managers first recognizing the need to develop in-depth understandings of what is actually going on deep inside their organizations, particularly the cultural factors that cause things either to happen or not to happen. As demonstrated in this chapter and elsewhere, a combination of ethnographic longitudinal research and empirical research can, as Dick Shepherd says, be 'of enormous value in bringing about culture change'. To this end, OCD professional partnerships can make an important contribution.

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SECTION 1: CHAPTER CONTRIBUTIONS TO HRD RELATED TEXTBOOKS

Sub-Section 1.3

TEXTBOOK

Understanding Human Resource Development
A Research-Based Approach
by
Jim McGoldrick, Jim Stewart and Sandra Watson

Chapter 5

5

TOWARDS EVIDENCE-BASED HRD PRACTICE

Bob Hamlin

Aims and contribution

This chapter is about the expertise that HRD practitioners require to maximize their contribution to organizational effectiveness. It presents arguments in support of an evidence-based approach to HRD practice and promotes the idea that HRD practitioners should endeavour to use evidence derived from good research to inform, shape, measure and evaluate their professional practice. A case is also presented for closer collaboration between HRD scholars and HRD practitioners as a means to achieve mutually desired research goals and to create research-informed HRD interventions that not only improve and enhance the practice of HRD in organizations, but also advance the field of HRD knowledge. For this purpose (and in accordance with the thinking of McLagan (1989), Marsick and Watkins (1994) and Swanson (1995) in the USA, of Simon and Streumer (2001) in the Netherlands and of the University Forum for HRD (1995) and Walton (1999) in the UK) the concept of HRD has been taken as comprising four key components. These are as follows: 'training and development', which includes management training and development; 'career development'; 'organisation development'; and 'learning', which includes organizational learning. It is assumed that the majority of readers are actively engaged in some way with organizational change and development. It is also assumed that readers will be engaged in academic research, possibly as part of a Master's degree in HRD or HRM or other field of study within the broad subject area of organization and management, whilst many more readers may be doing research without knowing it.

Theoretical context

What is meant and understood by 'evidence-based' HRD practice?

A first requirement is to set out what is meant and understood by the term 'evidence-based' practice within the field of organization and management in general and HRD in particular. This understanding has been influenced strongly by the developments over the past eight years or so of the theory and practice of *evidence-based medicine* (EBM). Most medical schools now train physicians in the skills of evidence-based practice. EBM originated in the UK in the early 1970s as part of an agenda first propounded by Cochrane (1972) for improving the effectiveness and efficiency of medical practice in Britain. This agenda was taken up by the McMaster Medical School (1992) in Ontario, Canada, who coined the term 'evidence-based medicine'. Its Evidence-Based Medicine Group (1996) has since defined EBM as 'the collection, interpretation, and integration of valid important and applicable patient-reported, clinician-observed, and research-derived evidence . . . to improve the quality of clinical judgements and facilitate cost-effective health care' (see Tanner 1999).

Another important influence has been the fact that an evidence-based approach is now seen as relevant to and well established in most of the other professions and client groups comprising healthcare provision in Britain besides medicine, including therapy, nursing, mental health and child health (see Bury and Mead 1998).

Sackett *et al.* (1996) define evidence-based medicine as the 'conscientious, explicit and judicious use of current best evidence in making decisions about the care of individual patients'.

In the context of EBM the term 'judicious use' means balancing the risks and benefits of alternative sources of evidence including research evidence, clinical expertise, beliefs and values of therapists and patients, clinical assessment of the patient and the patient's preferences. Hence evidence encompasses a wide range of information sources of which research evidence is just one. However, the use of the term 'best evidence' primarily refers to scientific evidence derived from research which Gray (1997) describes as falling into two categories, namely:

1 that which increases the understanding of health, ill health and the process of healthcare;
2 that which enables an assessment of the interventions used in order to try to promote health, to prevent ill health or improve the process of healthcare.

The former concentrates on the development of the knowledge base from which new ideas can be created for evaluation using the second category of research. It also provides contextual information against which the evidence arising from the latter should be interpreted. The second category of research is primarily concerned with the evaluation of ideas in practice. In America the clinical practice guidelines issued by the Agency for Health Care Policy and Research (AHCPR) have been designed 'to assist practitioner and patient decisions about appropriate health care for specific clinical conditions'. The guidelines suggest that best evidence should basically consist of either the 'findings from research of varying designs and thus of varying scientific strength ranging from, for example, a "meta-analysis" to an individual descriptive study, or the consensus of experts' (Stetler *et al.* 1998). Consensus is recognized as a lower form of evidence compared to empirical research and thus of lower strength, but it is evidence none the less. In Britain the type of evidence used in the practice of EBM can vary in scientific strength ranging typically from 'a systematic review of multiple well designed randomized controlled trials' to 'the opinions of respected authorities based on clinical evidence, descriptive studies or reports of expert committees' (Sackett 1997). However, Gray (op. cit.) argues that 'qualitative or survey study designs' can be more appropriate for answering many of the research questions associated with evidence-based practice in the other areas of healthcare provision. Furthermore Popay and Williams (1998) present very strong arguments for using evidence derived from qualitative research which they claim 'make important and unique contributions' to evidence-based healthcare.

Having explored the various debates and interpretations Bury and Mead (1998: 11) provide a working definition which they consider more helpful to therapists applying evidence-based practice in the broader field of healthcare, as follows:

> Evidence-based practice is the conscientious, explicit and judicious use of current best evidence in making decisions about the care of individual patients, integrating individual clinical expertise with the best available external clinical evidence from systematic research.

From an American perspective on the application of evidence-based practice and the role of nursing leadership in a particular healthcare setting, Stetler *et al.* (1998: 48–9) found that often 'the best evidence of well-established research findings was not available to substantiate various clinical, managerial or educational decisions'. Hence, in a similar way to Bury and Mead, they have produced a helpful summary definition 'as part of [*their*] realistic goal to enhance professional, evidence-based nursing practice' as follows:

> Evidence-based nursing de-emphasizes ritual, isolated and unsystematic clinical experiences, ungrounded opinions and tradition as a basis for nursing practices . . . and stresses instead the use of research findings and, as appropriate, quality improvement data, other operational and evaluation data, the consensus of recognized experts and affirmed experience to substantiate practice . . . inherent to evidence-based practice are critical thinking and research utilisation competencies . . . and the ability to use research as a process.

Just as Stetler *et al.* view evidence-based practice as applying to managerial and educational decisions as well as to clinical decisions, Bury and Mead (1998) claim evidence-based healthcare in Britain goes beyond

EBM. Its scope includes evidence-based commissioning/purchasing, evidence-based policy, evidence-based patient choice and evidence-based management.

Various calls for evidence-based management have been made in the British literature. For example, although evidence-based medicine can draw on more clear-cut scientific research than that available in the field of management, Rosemary Stewart (1998) argues it is still desirable to practice evidence-based management. To her, evidence-based management is an attitude of mind that:

- thinks in terms of evidence for decisions and about the nature of the evidence;
- asks questions such as: what is happening?; how is it happening?; why?; and what are the consequences?;
- is aware of the potential limitations of the different answers; and
- is interested in research to try to find the answers or at least to reduce the ignorance.

She suggests managers need to build a questioning approach into their everyday management practice and encourage the creation of a research culture. However, to develop a research culture requires at least one senior manager to act as a role model.

Axelsson (1998) points out from a broader European perspective that many physicians in many healthcare organizations where large-scale organizational and managerial changes have taken place, have started to ask for empirical evidence on the efficiency and effectiveness of the different organizational models introduced. Drawing on the work of Ham *et al.* (1995) he notes that many healthcare managers and politicians are starting to ask for more scientific knowledge upon which to make their decisions on organizational design. Hence he strongly promotes the idea of an evidence-based approach to healthcare management in order to improve its practice as well as to stimulate research on the organization and management of healthcare. Referring to the work of Altman (1994) he draws attention to the fact that the practice of EBM has exposed various gaps in the medical knowledge base, with a large proportion of published medical research lacking either relevance or sufficient methodological rigour to be reliable enough to answer clinical questions. However, the identification of such gaps has been helpful in cumulatively generating new medical research which has continuously improved the practice of medicine. Encouraged by this he claims that the evidence-based approach can be applied to the practice of management in general and to healthcare management in particular. However, there needs to be some modification in approach for two main reasons. First, because there are important methodological differences between medical research and management research: the former can be seen as being quantitative and empirical in character with the latter being more qualitative and phenomenological. Second, because of the significant differences and variability in the educational and professional backgrounds of managers compared to physicians. Taking these differences into consideration Axelsson (op. cit.: 313) takes evidence-based management as meaning that managers should examine the scientific basis for their practice by learning to search and critically appraise empirical evidence from management research as a basis for their decisions. This means they should be asking questions such as the following. What do we know empirically about different aspects of organization and management? What is the scientific state of this knowledge? What is the effectiveness and efficiency of different models of management? What is the experience of these models from different organizations?

These questions are similar to those posed by Rosemary Stewart and have important implications for both management practice and management research. Recognizing the practice of evidence-based management needs time and that many managers may say they have no time to spare for it, Axelsson also points out that that is what many physicians said when EBM was first introduced. However, they found very soon that 'they could improve the quality of their decisions so much [by adopting an EBM approach] that it was well worth the time and effort'. Today evidence-based practice is a widespread feature of medical and healthcare practice in the USA, Canada, Britain and many other European countries, and is beginning to be applied also in healthcare management and healthcare education. This being the case it should be possible for an evidence-based approach to be used to improve the practice of management in general, and also human resource development in particular.

The need for an evidence-based approach in HRD, together with examples of the benefits to be derived from practising various forms of it, are set out in subsequent sections of this chapter. At this juncture it seems appropriate to provide a working definition for evidence-based HRD taking account of the definitions given above for evidence-based medicine, healthcare and healthcare management respectively. This seems justified given that modern day HRD professionals operate very much in the role of internal or external consultants, as do physicians and therapists. Additionally they are concerned professionally with most aspects of organization and management and many also perform in managerial roles. Furthermore, HRD as a function and process is necessarily a key strand in the practice of management and an important component of the role of the line manager.

Based on what is happening in healthcare and healthcare management, the suggested definition for evidence-based HRD is as follows:

> Evidence-based HRD is the conscientious, explicit and judicious use of current best evidence in making decisions about the

> development of individuals, groups and organizations, integrating individual HRD practitioner expertise with the best available external evidence derived from systematic research.
>
> (Adapted from the Bury and Mead definition of evidence-based practice in healthcare)

For EBM, best evidence is based on a combination of three dimensions, namely 'research'; 'clinical experience' and 'patient preferences'. Similarly for evidence-based HRD, best evidence could be viewed as being derived from a combination of good-quality research; consensus of recognized professional experts and/or affirmed professional experience that substantiates practice; quality improvement, operational or evaluation data; and the systematic feedback of opinions or preferences of client managers.

For many HRD practitioners the application of evidence-based HRD even at the lowest strength of scientific evidence will likely be an unrealizable goal for reasons outside their control. However, this does not mean they cannot be 'research minded' and build a 'research orientation' into their professional practice. They can and many do adopt what is termed a 'research-informed' approach to practice. A suggested definition for research-informed HRD is as follows: 'Research-informed HRD is the conscientious and explicit use of research findings and the research process to inform, shape, measure and evaluate professional practice' (see Hamlin and Ash 2000). With these in mind, the question begging to be asked is the following: Is there a compelling need for either an evidence-based or research-informed approach to HRD practice? It has been argued elsewhere that evidence-based and/or research-informed practice should be key features at the forefront of initiatives for revitalizing HRD for the new millennium (see Hamlin, Reidy and Priddey 1998). It has also been argued that HRD lacks a sound and sufficient empirical base; that many organizational change and development programmes fail because change agents omit to use the findings from empirical research or to engage with research as part of their change agency practice; and that a gap exists between research and practice (see Hamlin and Stewart 1998). These arguments support the contention that there is a compelling need to move towards evidence-based approaches to HRD practice.

The need for evidence-based and research-informed approaches to HRD practice

Much HRD practice, particularly in the field of management development (MD), is based on little analysis of empirical research into the conditions prevailing in particular organizational contexts. Furthermore, despite a significant body of qualitative research on managerial work that has been reported in the management literature, little has been used to inform management development. This has led to few organizations achieving a proper return on their investments in management development activities, whether conducted off-the-job or on-the-job. As West and Patterson (1998) reveal, in many organizations the HR function (including HRD and MD) has had little impact on the bottom line with managers perceiving it merely as part of the 'tinsel rather than the trunk of the organisational tree'.

Mumford (1997) argues there is a continuing failure on the part of many HRD academics and practitioners, both in business schools and management development training centres, to define and implement their offerings in terms of what managers actually do. Rather, they continue to base their programmes predominantly on the views of classical theorists and modern day management 'gurus', and tend not to adopt or be influenced by the empirical research findings of writers such as Stewart (1982), Mintzberg (1975) and Kotter (1982). Hence much management development is based on inappropriate or obsolete models of management. This view appears to be reinforced by research from the Zenger Miller Group in the USA whose consultants observed 'interesting shifts in practice – although not in theory' (Russ-Eft *et al.* 1996).

Even when management research has been used to inform the content and processes of management development, the studies have often been small-scale and the results 'thin'. For example, although Rosemary Stewart collected diary data from over 100 managers for her work on 'the choices managers make', Mintzberg and Kotter observed and interviewed only small numbers of managers for their respective research studies on the 'fundamental features of managerial life' and the 'realities of what managers do'. As Mumford (op. cit.) claims 'little really is known about management other than generalized statements of managerial work' and that what managers need to be able to do 'is more likely to be specific and contingent than easily generalisable'.

Compared to the American management literature there is in Britain a dearth of reported empirical research into the 'particularities' of management, whether in the private, public or voluntary sector. Thus, in the teaching of management and the development of managers, there has been an over reliance on what is known about management as derived from research carried out in America. For example research carried out and reported in the mid to late 1980s by the author on the criteria of managerial effectiveness within UK secondary schools found reported in the British and American literature only ten directly comparable empirical studies across all other sectors in the British and American literature (see Hamlin 1990; Hamlin and Stewart 1990). Of these, only one was of UK origin, and even this had been a small-scale project. Since that time several household-named organizations in the UK, including BP and NatWest, have carried out research into effective and ineffective management using similar research methods. But few organizations release their research findings into the public domain, and even those that do tend to reveal scant details. Of the small number of empirical research studies that have been added to the British management literature base most have been concerned predominantly with the effectiveness of top managers as opposed to senior, middle and junior managers. (For example see the work of Spurgeon and Flanagan (1997); Alimo-Metcalfe and Alban-Metcalfe (2000, 2001) in the healthcare sector.)

An analysis of more than 100 of the most recent USA leadership studies completed as part of the Zenger Miller empirical research programme into 'what leaders do' at grass roots level, showed that despite its importance there was little agreement on what constitutes leadership (see Russ-Eft *et al.* 1996). Furthermore, a review of five general competency studies carried out by the Zenger Miller researchers revealed no common identification of leadership behaviours. Of the three studies that examined leadership competencies, each defined leadership differently. Moreover, most of the studies were concerned with senior management only, excluding examination of leadership embedded in the roles of middle, junior and first line supervisory managers. From this one can conclude that even in the USA there has been a general lack of empirical management research into the vast majority of management and leadership roles within organizations below senior management level. It is suggested the same applies in the UK and other countries worldwide. This suggestion is supported by Axelsson (1998) who has carried out a wide-ranging review of the history of management research. He concludes that after nearly a hundred years of research on organization and management, the practical knowledge in the field seems to be back almost on the same (*very low*) scientific level as when the research started.

The argument that HRD lacks a sound and sufficient empirical base appears to apply to the much promoted government inspired 'competency approach' to management development in Britain. This approach, spearheaded by the Management Charter Initiative (MCI), has been much criticized (Jacobs 1989; Burgoyne 1990; Stewart and Hamlin 1992, 1993; Tate 1995; Mumford 1997; Woodall and Winstanley 1998). Various commentators have questioned the soundness of the research and the research methods used to derive the competencies (Bates 1995; Stewart and Sambrook 1995; Tate op. cit.). Referring in particular to the MCI management competencies Mumford (op. cit.) argues strongly that insufficient (research) effort has gone into deriving their content. This is supported by Woodall and Winstanley (1998). Highlighting the fact that in general most organizations adopting the competency approach 'find they have to adapt a generic description of competency to their own needs', they stress 'the importance of involving staff in the process of identifying competencies in order to develop ownership and commitment', and suggest 'the language must be that used by managers in every day usage and this is something that needs to be addressed from within the organisation'. But to identify such organization-specific competencies requires some form of internal research. However, this needs to be relevant, robust, and of sufficient academic rigour to secure the 'ownership' and 'commitment' of people within the organization. According to Woodall and Winstanley, 'ownership' and 'commitment' are of paramount importance.

Turning to the organizational development (OD) component of HRD practice, considerable evidence suggests that failure to use 'best evidence' derived from 'good research' in order to influence decision making in professional practice can account for failure in attempts at bringing about beneficial organizational change and development. It appears that the majority of 'down-sizing' and 'delayering' exercises tend to be unsuccessful with few ever achieving the aimed-for goals (Wyatt and Co. 1994; de Meuse, Vanderheiden and Bergamann 1994; Howard 1996; Hussey 1997). Furthermore the majority of TQM and BPR programmes are also unsuccessful with 50 per cent to 70 per cent failing to yield the required improvements or benefits claimed (Schaffer and Thomson 1992; Hammer and Champney 1993, Kearney 1994; Hamel and Prahalad 1994; Wilkinson *et al.* 1993; Coulson-Thomas 1996; Nelson and Coxhead 1997). Regarding culture change the situation is even more bleak with the failure rate running at over 80 per cent in the UK (see IRS 1997). Additionally research suggests that many organization change initiatives fail badly, resulting in unintended consequences that seriously damage the organization and the people within it. (See Marks 1994; Devine and Hirsch 1998; Worrall and Cooper 1997, 1998, 1999, 2000.)

Various commentators have put forward reasons as to why OCD programmes fail. Most causes appear to come from within the organization itself, stemming from what is a general lack of change management know-how and skill on the part not only of many managers, but also of many trainers and developers. In particular, as will be demonstrated, it appears they tend not to take heed of 'received wisdom', or follow 'best practice approaches', or adopt an 'evidence-based/research-informed approach' to managing organizational change and development. However, when they do, as will also be demonstrated later, their change agency is enhanced.

A 'distillation' of 'best practice' relating to the management of change, derived from the change management models offered by a wide and various range of experts, has been extracted (Hamlin 2001a) and presented in the form of a 'Generic Change Management Model', illustrated in Figure 5.1.

Although most change management models described in the management literature are basically sound and have high face validity, in many cases the simplified diagrammatic/summary formats of the models similar to Figure 5.1 can appear overly simplistic and just plain commonsense. Herein lies a potential weakness of change management 'models' and 'prescriptions'. They can be subjected to oversimplification in use, resulting either in the skipping of important steps or a general lack of rigour in the application of each step. From the literature it also appears that a

Stage 1	Diagnose/explore the present state and identify the required future state
Stage 2	Create a strategic vision
Stage 3	Plan the change strategy
Stage 4	Secure ownership, commitment and involvement including top management support
Stage 5	Project-manage the implementation of the change strategy and sustain momentum
Stage 6	Stabilize, integrate and consolidate to ensure perpetuation of the change

Figure 5.1 A generic change management model
Source: Adapted from Hamlin (2001a)

general lack of change agency expertise is exacerbated by one or more of the following 'managerial failings'.

Failing 1: Not knowing the fundamental principles of change management

Complacency and ignorance appear to be two of the most significant factors that contribute to the failure of organizational change programmes. For evidence of this see, for example, Hammer and Stanton (1995) commenting upon the situation in the USA, and the Royal Society of Arts (1995) reporting on 'The Role of Business in a Changing World' within the UK context.

Failing 2: Succumbing to the temptations of the 'quick-fix' and 'simple solutions'

The management literature contains considerable anecdotal and research-based evidence of this failing. Attention is drawn particularly to the writings of Kilman (1989), Hussey (1996), Kotter (1996) and Gamblin (1997).

Failing 3: Not fully appreciating the significance of the leadership and cultural aspects of change

Beckhard and Pritchard (1992) discuss in some detail the interdependence of what many expert commentators consider to be the three most important factors in a fully functioning organization, namely 'leadership', 'culture' and 'the management of change'. Other writers including Hammer and Stanton (1995), Warrick (1995) and Kotter (1996), commenting from an American perspective, have demonstrated that failing to give sufficient attention to the 'leadership' and 'cultural' factors leads to failure. European examples of major transformational change programmes failing because of insufficient attention being given to the cultural issues have been well documented. See for example Brooks and Bate (1994), Boonstra and Vink (1996) and the Industrial Relations Service (1997).

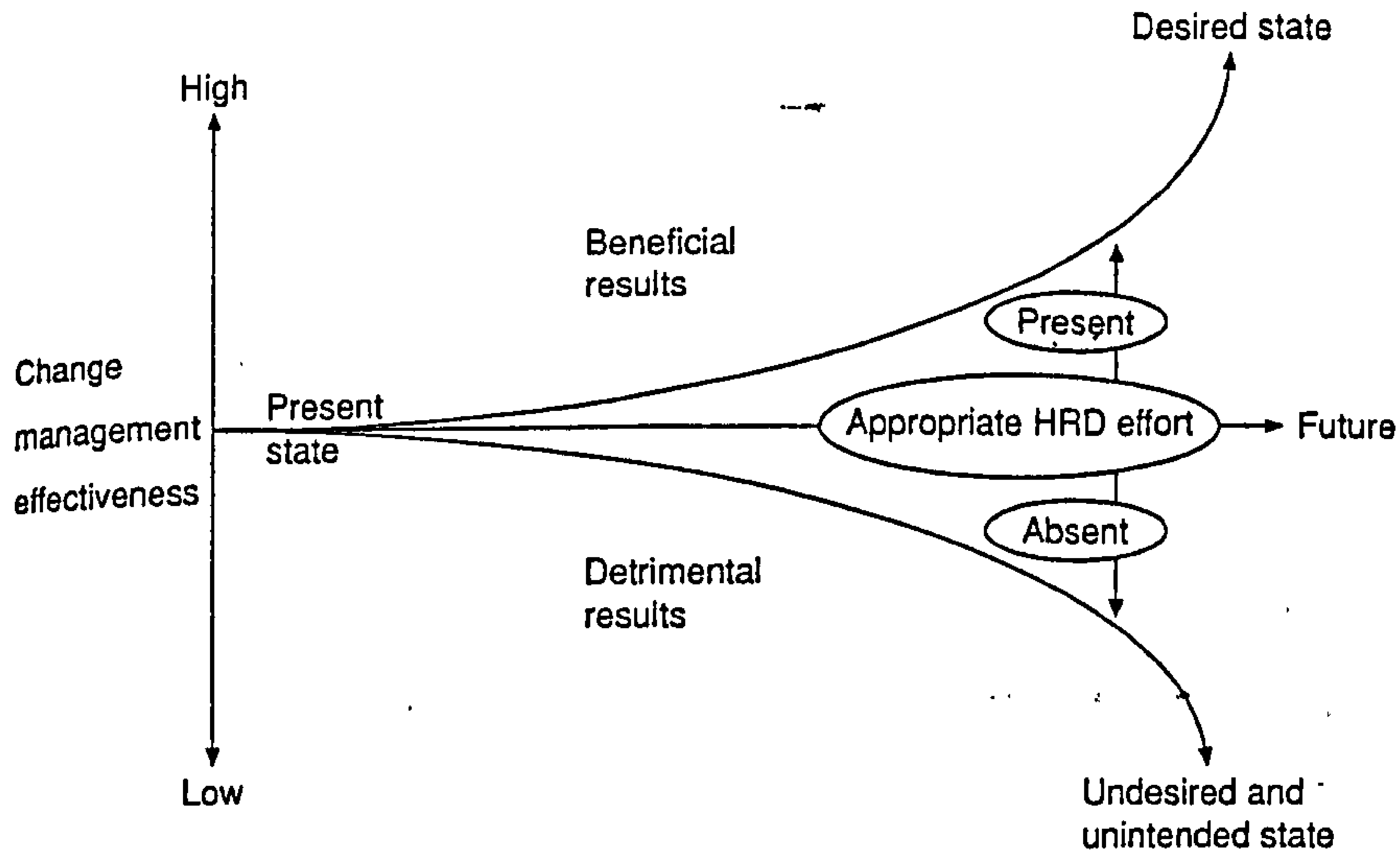

Figure 5.2 The critical contribution of appropriate HRD effort to change management effectiveness

Source: Adapted from an original model by Stewart and Hamlin (1990). Published also in Hamlin, B., Keep, J. and Ash, K. (2001) *Organizational Change and Development*, Financial Times/Prentice Hall. Copyright 2001 Pearson Education Limited. Reprinted by permission of Pearson Education Limited

Failing 4: Not appreciating sufficiently the significance of the people issues

This can be inferred from the range of undesired, unintended and damaging consequences resulting from badly implemented OCD programmes as the work of Marks (1994) and Worrall and Cooper (1997, 1998, 1999, 2000), suggest. For other evidence see also Hammer and Stanton (1995), Alexander (1991), Hussey (1996), Skilling (1996) and Devine and Hirsch (1998).

Failing 5: Not knowing the critical contribution that the Human Resource Development (HRD) function can make to the management of change

Implicit in all change is the need for people either to acquire new knowledge, attitudes, skills and habits (KASH) or to redistribute the existing know-how. Clearly this process is an HRD issue. The scale and nature of the HRD effort built into OCD programmes will determine whether or not they succeed. Change can either be brought about beneficially with the organization reaching its desired future state, or detrimentally with the organization suffering unintended, damaging consequences and ending up in an unwanted state, as illustrated in Figure 5.2. For managers to be in control of change they need to be in control of the KASH issues associated with change itself. This means giving sufficient time and attention to the 'soft' HRD (and HRM) aspects of managing the change process. (See Stewart and Hamlin 1990; Stewart 1993 and 1996; Hamlin and Stewart 1998.) More recent writers also claim that HRD is an integral component of change and growth that lies at the heart of managing change. (For example, see Bennett and O'Brien 1994; Grundy 1997; Bruce and Wyman 1998; Walton 1999; Thornhill *et al.* 2000.)

Unfortunately the failure to incorporate appropriate HRD effort into many change management programmes comes about because of the way trainers and developers are perceived by line managers (for example see Holland and Aitken 1999), and how they perceive themselves. Historically most have operated in roles and positions widely considered of 'lower status' than those of other functional specialists in, for example, finance or marketing. Generally they have lacked 'credibility' in the eyes of line managers. This has not been helped by being part of personnel departments also lacking in credibility because of the dominant focus on administration (Hussey 1997; Herriot 1998; West and Patterson 1998).

Hence many trainers have had little or no access to top management, or experience in positions of significant strategic influence. In many cases the constraints or barriers experienced have been self-induced due to their own narrow understanding of HRD. For over a decade calls have been made in the UK for trainers to become more managerial in orientation, and to develop themselves for roles with strategic influence (Coopers and Lybrand 1985; Barnham, Fraser and Heath 1988; Phillips and Shaw 1989; Stewart and Hamlin 1990). It is encouraging to note that strategic HRD is now emerging as a significant and discrete field of scholarship complementing that of strategic HRM (Thomson and Mabey 1994; Mabey and Salaman 1995; Harrison 1997; Rothwell and Kasanas 1989a and 1989b; Walton 1999; Wilson 1999). However, the majority of trainers and developers will continue to find themselves operating at the margins of organizational life unless they improve their 'credibility' in the eyes of line managers. But this means managers overcoming the five OCD 'failings' outlined above.

As discussed earlier, traditional approaches to manager and management development do not adequately address these 'failings'. In many organizations the management climate is not conducive for trainers and developers to operate strategically as internal management and organization development consultants. This precludes the development of appropriate management development initiatives that could, perhaps, help managers to overcome their 'failings'. Within the field of management and organization development there appears to be a 'vicious circle' in play where the five OCD 'failings' of managers contribute to the 'credibility' problems of HRD practitioners. This leads to a lack of 'appropriate' HRD effort in OCD programmes that fail to trigger managers to question the 'inappropriateness' of the MD programmes on offer, which in turn leads to failure in managers being helped to overcome the five OCD 'failings'.

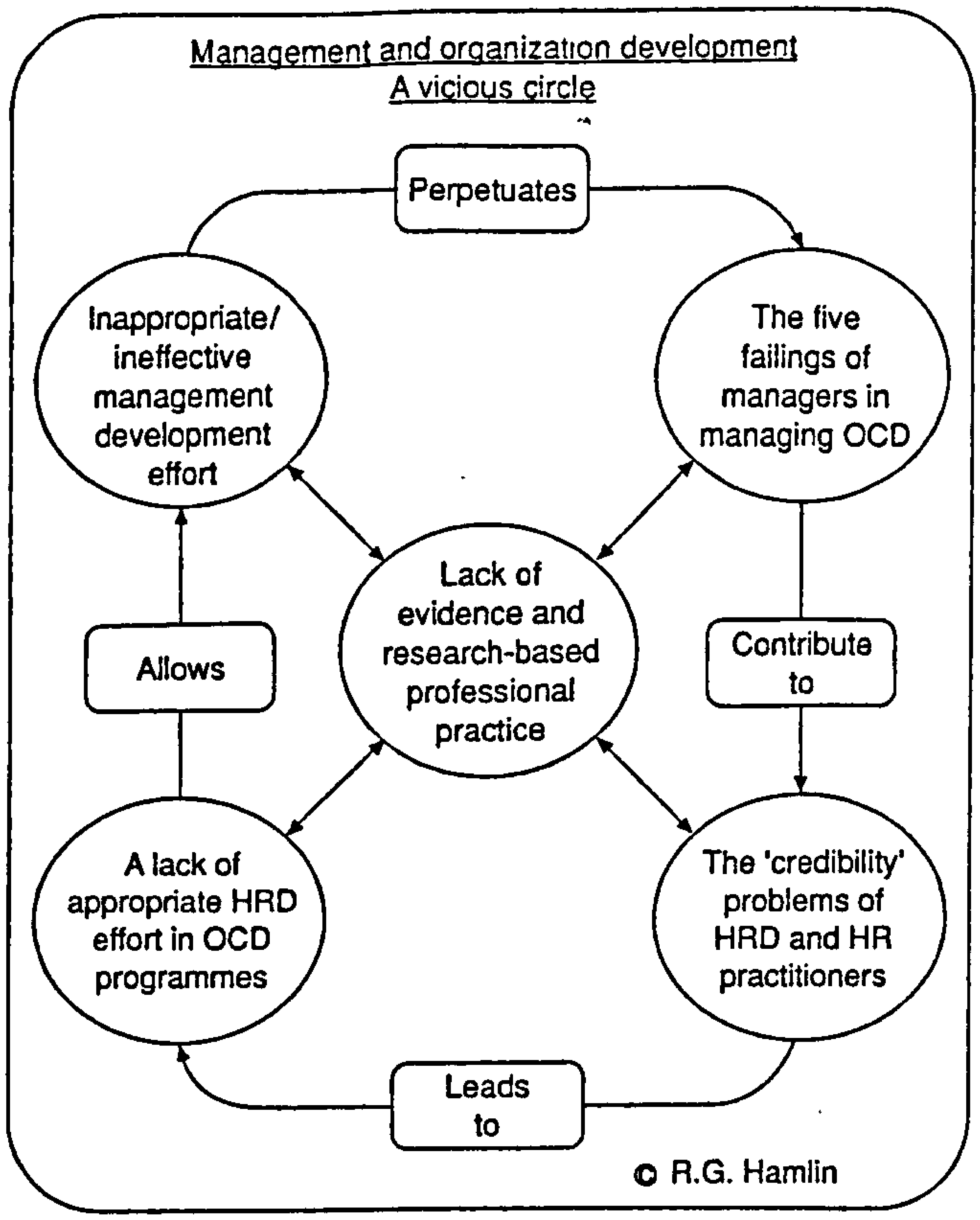

Figure 5.3 Management and organization development: a vicious circle
Source: Bob Hamlin in Hamlin, B., Keep, J. and Ash, K. (2001) *Organizational Change and Development*, Financial Times/Prentice Hall. Copyright 2001 R.G. Hamlin. Used with permission of Pearson Education Limited

And so the 'vicious circle' goes on as illustrated in Figure 5.3. At the heart of this vicious circle is a perceived lack of sufficient evidence-based or research-informed professional practice on the part both of line managers, trainers, developers and other HR professionals.

Evidence suggests those 'evidence-based' approaches to practice, or at least 'research-informed' approaches, need to become essential features of the process of managing organizational change and development if maximum success is to be assured. As Quirke (1995: 175 and 214) observes, 'the use of internal research as an instrument on the corporate dashboard' provides 'continual feedback that allows greater responsiveness' and helps 'to speed up the changing behaviour within organizations'. Several other UK writers have argued the case for research-informed approaches to

HRD including management development and organizational change and development (Jacobs and Vyakarnam 1994; Davies 1996). Similar arguments have been made in the USA. For example, Swanson (1997) exhorts HRD professionals to advance their professional practice by becoming truly expert practitioners through what he calls 'back yard' research, whilst Jacobs (1997) calls for collaborative partnerships between HRD practitioners and HRD scholars for integrating research and practice. Their views are strongly supported by Russ-Eft *et al.* (1997) who present telling arguments encouraging HRD practitioners to use the results of current HRD research in order to enhance their professional practice. Reflective research-informed HRD, enhanced by collaborative partnerships between managers, trainers and developers on the one hand and HRD scholars on the other for producing good internal research, will become increasingly important in the drive for excellence and expert practice in the field of change management.

Implications for HRD/OCD practice

As can be inferred from the foregoing, managers, trainers, developers and all other HR professionals with responsibilities for bringing about organizational change effectively and beneficially, whether or not in collaborative partnership, need to be appropriately skilled to perform the tasks of the change agent. Invariably these are to:

1 diagnose, understand and make sense of the organization;
2 formulate appropriate change strategies;
3 implement these strategies effectively and beneficially;
4 critically evaluate the effectiveness of their own contribution;
5 draw lessons by reflecting upon their own professional practice.

A detailed discussion of these five tasks have been presented elsewhere (Hamlin and Davies 2001), but it suffices here just to acknowledge the fact that these tasks of the change agent are complicated by virtue of the increasing complexities, contradictions and paradoxes associated with organizational life and the processes of organizational change. Hence change agents need to be very selective in the theoretical approaches they use to inform and shape their practice, and they need also to build into their organizational change and development programmes sufficient time for review and reflection. From such reflection new theoretical insights may be gained as to why particular aspects of change programmes either succeed or fail. Furthermore, new ways of approaching the problems of change may emerge through the development of new 'ideas or theories' informed by the practice. Additionally, as change agents they need to incorporate research activities as part of their professional practice for the purpose of better informing, shaping and evaluating what they do. Conducting internal research is itself a process which can help make change occur. It can, when conducted with appropriate academic rigour, lead to fundamental issues concerning the effective functioning of the organization being brought to the surface and being confronted. As a result people are more likely to admit in public both the effective and ineffective features of organizational life including their own individual performance or behaviour deficiencies, and to advance personal 'theories', reactions and opinions which otherwise would not be revealed. Such research gives HRD/OD practitioners the evidence required 'to hold a mirror up to the organization' that will 'reflect accurately' the truth and realities of organizational life (see also Bruce and Wyman 1998).

However, the question needs to be asked as to how evidence-based and research-informed approaches might become commonplace features of HRD practice, particularly in the area of strategic organizational change.

Implementation of evidence-based and research-informed HRD practice

For reasons already discussed, it is unlikely that an 'evidence-based' approach to HRD can ever emulate the model of Evidence-Based Medicine. However, it should at least be possible to emulate the various evidence-based approaches successfully and beneficially applied in healthcare and healthcare management. At best this might mean that 'best evidence' for HRD is limited to the findings of good quality empirical research based solely on qualitative methodologies, which is an approach that is becoming increasingly legitimized within various areas of healthcare. At worst, but still desirable, evidence-based HRD practice might just mean practitioners building into their every day practice the 'questioning approach' advocated by Rosemary Stewart or using 'best evidence' of lowest strength in the hierarchy of scientific evidence. It needs to be recognized that there are many HRD professionals who have had experience of carrying out rigorous research as part of a Master's degree and have since become research-minded and reflective. Although not strictly 'evidence-based' in practice they are certainly 'research-orientated'. In terms of the strength of scientific evidence this approach falls short of the minimum requirements to be considered as 'evidence-based', but even so it needs to be recognized as a desirable feature of professional practice. Encouraging this approach would be a significant development leading to evidence-based practice.

What follows are a few recent real life examples of how the 'evidence-based' and 'research-informed' approaches have been used in practice by various HRD practitioners and others. These examples are drawn partly from personal experience, partly from the experiences of other reflective practitioners, and partly from the literature. They indicate that the notion of research-informed and evidence-based HRD is not rhetoric but a reality. They also provide pointers that give direction to ways of enabling and expanding the implementation of research-informed and evidence-based practice.

Organizational change and development: 'reflections on practice' pointers towards research-informed and evidence-based HRD practice

In their recent book Hamlin, Keep and Ash (2001) provide various practical insights and perspectives on 'what makes for effective and successful organizational change and development'. Many of these are based on the 'narratives', 'stories' and 'lessons' offered by various reflective research-informed change agents, including managers, trainers and developers, who have been successful in bringing about beneficial organizational change either in their own organization or in host organizations. A detailed analysis of these various 'reflections on practice' by Hamlin (2001b) reveal several common lessons from which a number of generalized insights and conclusions have been drawn regarding effective change agency in practice. The critical factors pertaining to most of the case histories reinforce various aspects of the 'Generic Model of Organisational Change Management' referred to earlier in this chapter which was derived from 'best evidence' reported in the management literature. Other critical factors common to many of the 'reflections on practice' demonstrate the benefits of knowing the common failings of managers when managing change, and the importance of avoiding them. The key insights gained include:

- the significance placed on 'communicating with all stakeholders for the purpose of securing common ownership, commitment and involvement';
- the pivotal importance of 'securing the active commitment, involvement and participation of senior to middle managers' and particularly 'top management';
- the need to be 'clear, consistent and open with regard to what you are seeking to achieve, setting clear strategic objectives and sharing the vision';
- the importance of 'recognizing and addressing the real problems or root causes of problems, including the cultural dimensions';
- the importance of 'giving enough time for the OCD programme to take root and succeed';
- the importance of the 'contribution that the HR function can make and the strategic role it can play in bringing about transformational change';
- the need to recognize 'the role of learning in the change management process and the need for a no blame culture';
- the value of 'being reflective';
- the emphasis and importance placed on 'the value of conducting internal research as part of change agency practice'.

The latter two insights are particularly significant. For most of those who contributed the case histories, reflection was a legitimate component of their change agency practice which they made an integral and explicit part of the change process. Furthermore, many wished they had spent even more time up front of their change projects carrying out research to understand better the organizational context, particularly the cultural aspects, in order to form a stronger foundation upon which to build their change programmes and developments.

Quality in healthcare

Enabling the implementation of evidence-based practice

This example relates to the world of nursing and healthcare management (Kitson, Harvey and McCormack 1998). Some of the case studies presented in this work relate strongly to change management, facilitation and learning issues in contexts, settings and situations similar to those faced by managers and HRD practitioners in other types of organization. At heart it is the belief that 'the implementation of good quality research is likely to have improved outcomes for patients and is therefore important for quality patient care'. The conceptual framework presented by the authors suggests that 'successful implementation of research into practice is a function of the relation between the nature of the evidence, the context in which the proposed change is to be implemented, and the mechanisms by which the change is facilitated'. As much attention needs to be given to preparing the context and choosing the facilitation method as to testing the evidence. Four case studies are presented of varying degrees of quality from low to high relating to the evidence, the context and the facilitation respectively. The most successful implementation seems to occur when evidence is high; when the context is receptive to change with sympathetic cultures and appropriate monitoring and feedback mechanisms, and when there is appropriate facilitation of the change, using in a complementary way the skills of both external and internal facilitators. The framework could be used as a tool by HRD practitioners for implementing research findings or engaging in research activities as part of their change agency practice. Additionally it provides a useful reminder of the importance of giving sufficient attention to the process issues of change which call for high levels of facilitation skill and change agency expertise.

Research-informed and evidence-based HRD through professional partnerships

As already mentioned various authors in the UK have called for more research informed approaches to human resource development and management development (Jacobs and Vyakarnam 1994; Davies 1996; Hamlin and Davies 1996). Others have argued the case for more internal research in support of organizational change programmes and organizational learning (Quirke 1995; Stewart 1996; Hamlin and Reidy 1996 and 1997; Hamlin, Reidy and Stewart 1997; Denton 1998; Easterby-Smith and Araujo 1999). In the USA Swanson (1997) advocates that HRD professionals should 'advance their professional practice by becoming truly expert practitioners' through what he calls 'backyard research'. Jacobs (1997) strongly advocates HRD collaborations between organizations and universities. However, these should be 'professional partnerships' in which the 'partners' recognize that HRD scholars and HRD practitioners enter such partnerships with their own respective goals. Thus, in 'HRD professional partnerships', there is a dual goal to advance the HRD field and improve the organization through the findings and application of rigorous internal research. Building upon the ideas of Jacobs, and a number of tentative ideas shared by a group of HRD academics and practitioners attending the 1997 Annual Conference of the University Forum for HRD, a 'conceptual framework' has been devised to illustrate the connection between 'HRD professional partnerships' and the 'HRD research–practice gap' (Figure 5.4).

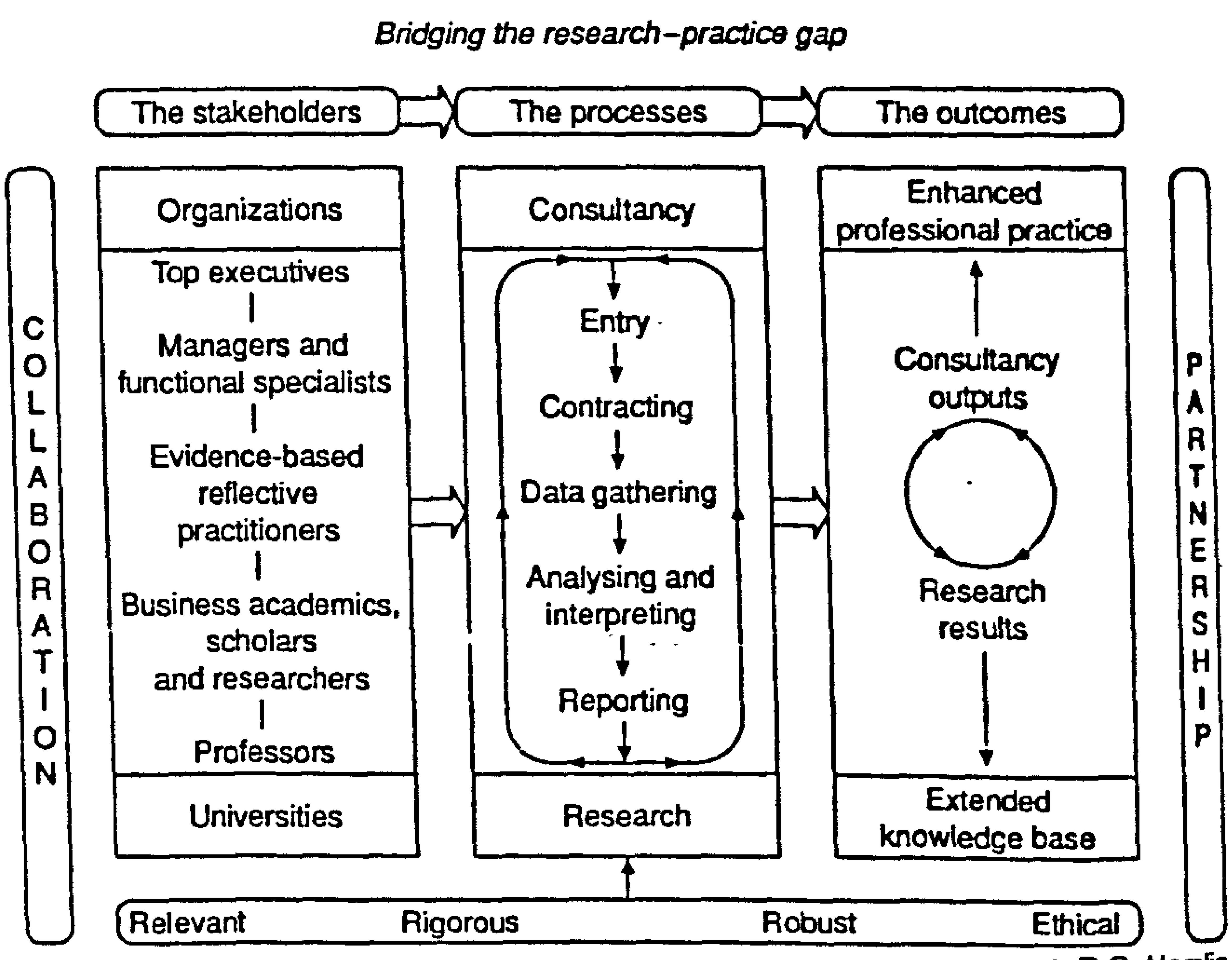

Figure 5.4 Closing or bridging the HRD research–practice gap through HRD professional partnerships

Source: Bob Hamlin in Hamlin, B., Keep, J. and Ash, K. (2001) *Organizational Change and Development*, Financial Times/Prentice Hall. Copyright 2001 R.G. Hamlin. Used with permission of Pearson Education Limited

The narrow outside 'boxes' to the left and right of the model are there to remind us that the joint research effort is not a 'service contract' but a 'collaborative partnership'. The narrow outside boxes at the top and bottom of the model illustrate the connection between the respective 'stakeholders' who are jointly involved in the active 'processes' of research and consultancy. These need to be relevant, rigorous, robust and ethical if they are to lead to 'outcomes' of maximum value to the interested parties. The large box to the left of centre of the model endeavours to illustrate 'professional partnerships' in which HRD scholars from universities, in partnership with HRD practitioners, conduct internal organizationally related research to academic standards. At the centre of this box is the notion of the 'reflective research-informed/evidence-based' practitioner. The large box at the centre of the model draws attention to the cyclical nature of the processes for conducting internal research and consultancy respectively. These are similar and follow a 'common' sequence of stages from entry to reporting. The outcomes from the research/consultancy activities as illustrated in the large box to the right of centre of the model are perceived as being mutually reinforcing. At the outset of an HRD intervention the reflective research-informed/evidence-based HRD practitioner uses 'best evidence' to support his or her decisions. This might mean building a 'research' component into the HRD strategy for the specific purpose of using empirical evidence from internal organizational research to further inform, shape and measure the required HRD intervention and thereby enhance the professional practice. Building sufficient rigour into the research with the help of an HRD scholar in a professional partnership arrangement will give the necessary 'academic credentials' required to ensure the credibility and acceptance of the research by people inside the organization, and also impart value in terms of its contribution to the advancement of knowledge.

This concept of collaborative 'professional partnerships' for generating internal partnership research, and the processes involved, bear similarity to the notion of 'co-operative research' as advocated and practised within the healthcare sector (Sang 2000). To get 'research into practice' Sang draws attention to a 'virtuous cycle' of co-operation that needs to exist from beginning to end of the research process involving the initiators, commissioners, designers, planners, implementers and evaluators.

An HRD professional partnership in practice

Case-study example: HM Customs and Excise (Anglia Region)

This HRD professional partnership was set within the Anglia Region of HM Customs and Excise (HMCE), which at the time was one of fourteen executive units comprising HMCE within the UK. The partners in this instance included Dick Shepherd, the regional head of 'Anglia', Margaret

Reidy his internal research officer/HRD consultant, plus the author and Professor Jim Stewart from Nottingham Trent University.

The aim of the partnership was to help bring about radical change in the management culture of the organization through HRD initiatives based on the findings of rigorous internal academic research. The research programme included, amongst other activities, an extensive 'ethnographic' longitudinal case study on the changing culture of the organization. It also comprised a complementary empirical research study into the criteria of managerial and leadership effectiveness using critical incident technique and statistical analytic methods for processing the data.

The partnership comprised two strands, the one concerned with the 'ethnographic' research, the other with the study of managerial effectiveness. The 'ethnographic' research became coincidentally the focus of a PhD/MPhil study programme undertaken by the research officer. Hence this strand of the partnership was partly contractual for the doctoral studies component and non-contractual for all of the other aspects. The managerial effectiveness strand to the partnership differed from the 'ethnographic' strand in that it was wholly voluntary and non-contractual with each partner entering the 'partnership' with quite different yet complementary goals. It should be mentioned that in the 'Anglia partnership' the internal HRD practitioner, Margaret Reidy, carried out most of the field research, but the other stages of the research programme were done jointly.

At the time of his appointment as regional head of Anglia in 1991, Dick Shepherd found himself in a region which, whilst productive, was working with a 'command and control' style of management. However, to reflect the changing organizational environment where year on year demands to deliver more for less were being made by the department, the management style needed to be changed. Furthermore, to cope effectively with the various change programmes he anticipated would be imposed 'top-down' from above, and those he intended initiating himself, he concluded a new cultural infrastructure was required. He found though that change was slow to happen due to the effects of 'cultural lag', a term first coined by Bate (1996). He realized he needed to understand better the resilient but no longer relevant culture of his organization so as to know how best to change it. Hence he commissioned an ethnographic longitudinal research study from Margaret Reidy on culture and cultural change that was designed to help inform, shape and measure the changes he had set his mind to bring about. In the main his early change initiatives were a success in terms of changing the organizational structure. However, the desired changes in the management culture were only partly achieved as revealed by the ethnographic study. A large proportion of managers persisted in managing in the traditional ways of the Civil Service.

At the beginning of 1995, Shepherd decided to address again the issue of changing the management culture. However, he wanted to know with a greater degree of certainty the type of managerial behaviours that were proving particularly effective within the changing organization which therefore needed to be encouraged and promoted, and conversely those behaviours that were least effective which needed to be discouraged or eliminated. Furthermore, he and Margaret Reidy were curious to know whether a different research methodology would substantiate the longitudinal 'ethnographic' research findings. Hence a second strand of the HRD professional partnership was formed focusing on a complementary research programme into managerial and leadership effectiveness. This latter research, and its application to inform and shape the range of HRD interventions used to bring about significant change in the management culture of 'Anglia', has been published in some detail elsewhere (see Hamlin and Reidy 1997; Hamlin, Reidy and Stewart 1997, 1998 and 1999). In summary, the initial research revealed six 'positive' criteria relating to managerial effectiveness within 'Anglia', and twelve 'negative' criteria relating to managerial ineffectiveness.

The criteria are rich and robust in that they are underpinned by behavioural statements which are relevant in terms of the inherent language and culture of 'Anglia', and have been piloted and tested through a number of diverse tools. A further research study was carried out focusing specifically on team leaders with the purpose of identifying criteria of leadership effectiveness. It was based on twenty of the 'positive' leadership-specific behavioural statements obtained from the managerial effectiveness research, and used the same data processing methods.

Dick Shepherd presented the preliminary findings from the critical incident stage of the research to his managers at his 1995 Annual Management Conference. The results were well received with people agreeing that the identified behaviours did exist. These were then discussed in syndicate workshops with some of the revealed behavioural problems being addressed. Various managers and team leaders carried the results back to their offices, and ran similar workshops with their own people in order to address those problem issues affecting them. Subsequent monitoring of the culture changes that had taken place as a result of the research-based HRD interventions revealed marked increases in the incidence of 'positive' managerial behaviours, and reductions in the 'negative'. However, many problems remained with certain managers still exhibiting attitudes and behaviours associated with ineffective management as defined by the 'negative' criteria. Hence it was concluded additional effort was required to effect further change in the management culture. The reasons why the initial findings had not had a bigger impact was that some people did not relate the 'negative' behaviours to themselves, although they accepted that in general such behaviours were a major problem for the organization. The strict codes of confidentiality and anonymity as applied when conducting the research meant none of the observed critical incidents and behaviours reported in the findings were attributed to any persons in particular. Hence it was too easy for some people to believe that other managers elsewhere in the organization were the ones exhibiting the negative behaviours. Some managers were obviously reluctant to analyse their own behaviours in relation to the research findings. This created a barrier to further cultural change. Therefore a different approach was needed that would encourage and enable managers and team leaders in the organization to relate the 'positive' and 'negative' criteria to their own behaviours. The approach used was based on the concepts of self-analysis, 360-degree feedback and action learning, using a range of 'framework tools' focusing on different criteria and problem issues identified by the managerial and leadership effectiveness research. Team-effectiveness workshops were set up for particular team leaders (managers) and their respective teams, and these were facilitated initially with the help of Margaret Reidy. Through the process of action learning, participants at the workshops were helped to translate and transfer to themselves not only the positive findings of the research, but also the negative findings that required personal remedial action as revealed by the 360-degree feedback process. This team effectiveness/action learning workshop approach enabled people to obtain feedback from colleagues without risk of compromising their positions or relationships within the organization. It allowed them to work through problems in a supportive climate and learn from them, and led to meaningful change on a personal, team and organizational level. Subsequent workshops became self-generating and self-facilitating.

The research-informed/evidence-based HRD practice outlined above, which took place between 1995 and 1998, was highly successful in engaging the active interest and commitment of 'Anglia' people to the process of strategic change. Managers went much further in their thinking than had been the case with previous organizational change programmes. In the past 'Anglia' people had not always responded well to certain organizational change initiatives, particularly those involving consultants using external research or adapted 'off the shelf' OD instruments that failed to 'ring true'. In this case they were willing to move forward with cultural change brought about through the strategically led and research-informed/evidence-based HRD interventions initiated by Dick Shepherd. This was because the internal research findings presented an accurate picture of the actual realities of managerial life as it existed, and also 'struck a chord' with people. But the perceived value of this research-informed/evidence-based HRD practice stemmed particularly from the attributes of the research resulting from the 'Anglia' HRD professional partnership, namely its academic rigour and credentials, the strict codes of anonymity and confidentiality that were applied, its relevancy and the sense of ownership it engendered. In the case of the 'Anglia' cultural change programme the contribution of the internal research was pivotal and of crucial importance. As Dick Shepherd said, 'it was of enormous value in bringing about the culture change, and gave me the confidence and courage to proceed with the change programme'.

Conclusions and key learning points

Several lessons can be drawn from the examples outlined above. There are strong arguments that strategically led research-informed/evidence-based HRD practice can become a central plank of any HRD strategy for helping to bring about beneficial organizational change and development. However, this is unlikely to become commonplace if most HRD practitioners remain constrained at the margins of the organization, rather than at its centre. The question is how might HRD professionals become centrepiece players on the organizational stage? Certainly this will not happen unless and until line managers overcome the five OCD 'failings' outlined earlier in this chapter, and unless and until HRD people increase significantly their competency and credibility. Herein lies a major challenge for those who educate and train managers, trainers and developers, particularly university academics who teach on professional qualification programmes such as the MBA and Master's degrees in HRD and HRM. They should be making key contributions towards such developments as:

1 Ensuring that the organizational/business leaders and managers they teach do fully understand the significance of investing in appropriate HRD (and HRM) effort when initiating and implementing organizational change programmes. This might mean changing the way HRD/HRM is taught in business schools. Greater emphasis should be placed on helping practising managers recognize not only the importance to themselves of becoming more skilled as change agents and research-informed/evidence-based reflective practitioners, but also on the value of co-operative or partnership research and professional partnerships.
2 Ensuring HRD practitioners develop the skills required to operate effectively and with competence, confidence and credibility at strategic levels within organizations. This includes helping them develop expertise as internal consultants, change agents, strategic organizational facilitators, and as research-informed/evidence-based reflective practitioners.
3 Doing more applied research themselves, focused towards enhancing professional HRD practice as well as advancing the field of HRD knowledge.
4 Working collaboratively with their current and past students and other research-active HRD practitioners, preferably within HRD professional partnerships and other co-operative or partnership research arrangements.
5 Recognizing the potential of such partnerships for generating academically rigorous HRD research that can be of relevance and interest to HRD practitioners.

A key message for those readers who are HRD practitioners is the need at least to become a reflective research-informed professional; and then to embark upon a journey towards becoming an evidence-based practitioner, emulating what other professionals do in the healthcare professions. HRD professional partnerships or co-operative research arrangements with HRD academics are one means of enhancing professional HRD practice through research.

There is also an important message to be drawn from the above examples for top managers and business/organizational leaders. They need increasingly to recognize the value of research-informed/evidence-based HRD for bringing about beneficial organizational change and development. However, as an HRD-orientated manager, trainer, or developer it may fall to you, the reader, to ensure this message 'strikes home' at the top of your own organization. This may prove an essential requirement if you are to maximize your contribution to organizational effectiveness and helping to bring about beneficial organizational change and development.

Acknowledgements

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SECTION 2: PEER RECOGNITION

2.1 A Statement on the Author's Evidence of Esteem and Peer Recognition

Mr. Robert Gordon Hamlin has active research connections through the University Forum for HRD (UFHRD) that comprises various centres of excellence including Nottingham Trent University and Kingston University. The UFHRD is an international association of universities and learning-oriented organisations currently comprising thirty eight (38) universities from the UK, including a wide range of First and Second Division universities such as Kingston, Lancaster, Leicester, London Guildhall, Nottingham Trent, Plymouth, Sheffield, Sheffield Hallam and Warwick, and 6 universities from other European countries including France, Italy, Ireland, the Netherlands and Spain, plus the UK based Chartered Institute of Personnel and Development (CIPD). Mr. Hamlin was one of the founders of the UFHRD and has been a Council Member and Honorary Treasurer since the formal inauguration of its 'Constitution'. He is also actively involved with Euresform, a similar Pan European network of universities now affiliated to the UFHRD, of which he is also an Executive Board Member and Honorary Treasurer. The UFHRD and Euresform, together with the Academy of HRD in the United States, and Routledge the publishers (now part of Taylor and Francis), co-founded the highly regarded Human Resource Development International Journal of which Mr. Hamlin is a serving Advisory Board Member. UFHRD has mounted several national and international conferences some of which Mr. Hamlin has helped to organise and facilitate. He has been an active reviewer for HRDI, Personnel Review and the Journal of Applied Management Studies, and additionally is frequently asked by FT Pitman, Routledge and Sage to review various HRD and OCD related new text book proposals, and also to critique chapters in progress.

For many years Mr. Hamlin has undertaken applied research and management training/consultancy with a number of prominent companies including Central Television, Alfred McAlpine, Midlands News Association, Wolverhampton MBC and Goodyear. Additionally he has carried out TACIS funded work in Western Siberia, Russia, for the Russian Oil and Gas Industry that has yielded big dividends for the University in terms of consultancy and significant project-related income.

Since 1993 Mr. Hamlin has been the Course Director of the M Sc in HRD Programme offered by the University of Wolverhampton Business School to a national and international client base. The programme is now in its 10th successful year and is one of the strongest in the UK with an enviable reputation for quality and relevance.
Mr. Hamlin has also been pivotal in building up the reputation of WBS as the regional market leader in the field of postgraduate professional qualifications giving graduate membership of the Chartered Institute of Personnel and Development (CIPD), and achieving the Business School's recent success in being awarded by the QAA an 'Excellence' rating of 23 out 24 points for its HR Programmes.

In 1999, Mr. Hamlin was awarded the Distinguished Badge of Merit by the then Institute of Personnel and Development in recognition of his service to the Institute and the HR profession.

For over seven years Mr. Hamlin has been conducting applied research into the issue of managerial effectiveness within one part of the British Civil Service, namely the Anglia Collection of HM Customs & Excise. The results of this research, which was carried out within the arrangement of an HRD Professional Partnership, have made pivotal contributions to the bringing about of strategic and cultural change within that organisation. They have also informed his personal contributions to debates in the management literature on the emergent concepts of 'partnership research' and the 'reflective research-informed HRD practitioner'. **Outcomes and Impact:** Mr. Hamlin has presented several conference papers based on the results of his 'Anglia' research on managerial effectiveness at Nottingham Trent University, Leeds University, the BPS Annual Conference, Edinburgh, and at the 27th IFTDO International Conference, Dublin respectively. This research has also been reported in numerous well respected academic and practitioner publications including the Journal of Applied Management Studies, Human Resource Development International and Strategic Change Journal, and widely in the USA through Management Development Forum which is published by the State University of New York.

More recently, Mr. Hamlin has conducted similar managerial effectiveness research within a collaborative 'HRD Professional Partnership' arrangement with the Personnel Director of a local NHS Trust Hospital. He is also currently the Director of Studies of a doctoral student who is studying managerial effectiveness in other collaborating acute and community NHS Trust hospitals within the UK. **Outcomes and Impact:** Within the past 18 months Mr. Hamlin has presented conference papers based on his 'NHS Trust' and 'Anglia' research at the UFHRD 2nd International Conference on HRD Research and Practice Across Europe held at the University of Twente in the Netherlands in January 2001, and the CIPD Professional Standards, Keele University in July 2001. Since then the 'Twente' paper has been selected as one of eight internationally peer reviewed conference papers for publication in a Special Issue of the International Journal of Human Resource Development and Management (Vol. 2, Issue 1/2, 2002). In the words of the Editor-in Chief of IJHRDM, Dr. M. A. Dorgham of the Open University, "the publication of this paper reflects the high esteem held for the you by your fellow professionals." Additionally, Mr. Hamlin has written two other *single* authored journal articles based on his NHS Trust research that have been accepted for publication in 2002 by HRDI and Health Services Management Research respectively.

Mr. Hamlin is the Director of Studies of two other doctoral students who are researching the issue of managerial effectiveness within secondary education and hi-tech industry respectively. **Outcomes and Impact:** A number of jointly authored conference papers have been produced and presented.

Mr. Hamlin has used the findings from his empirical research and his experiences of working within research focused 'HRD Professional Partnerships' to support other scholarly work. **Outcomes and Impact:** He has written a chapter for the book entitled "Employee Development Practice" by Professor Jim Stewart, and another chapter with Dr Gron Davies for Professor Stewart's book entitled "Human Resource Development: perspectives, strategies and practice" which he co-edited with Professor Jim McGoldrick. Mr. Hamlin has also written a significant chapter on evidence-based and research-informed practice targeted toward HRD practitioners in the recently published textbook co-edited by Professor Jim Stewart (Nottingham Trent), Professor

Jim McGoldrick (Abertay Dundee) and Dr Sandra Watson (Napier) entitled "Understanding Human Resource Development: a research-based approach".

In October 2000 Mr. Hamlin had his own book published by FT Prentice Hall entitled "Organisational Change and Development: a reflective guide for managers, trainers and developers" which he co-authored and co-edited with two alumni from his M Sc in HRD Programme. Other contributors to the book include Professor Cary Cooper (UMIST), Professor Les Worrall (Wolverhampton), Paul Turner, HR Business Director of Lloyds-TSB who is a Visiting Professor at Nottingham Trent University, and fifteen of Mr Hamlin's past M Sc in HRD students. A significant proportion of his personal contributions to this book were informed and shaped by the findings from his own managerial effectiveness research and personal experience of engaging in the HRD Professional Partnerships. **Outcome and Impact:** As a direct result of the production of this book and his research activities in the NHS and Civil Service, Mr. Hamlin was invited by the NHS-P Support and Development Trading Agency of the NHS to present a paper at its annual NHS-P 'Research Into Practice' Conference at Birmingham in January 2000. The paper was entitled "Towards Research Informed Practice", and over fifty HR Directors and OD Directors from the NHS were in attendance. Since that time Mr. Hamlin has given several talks to groups of managers, trainers and developers on the benefits of 'reflective research-informed' approaches to practice in the field of OCD/HRD at various CMI and CIPD meetings. Additionally, he represented the University Forum for HRD with Professor John Walton of London Guildhall University at an open meeting between the Learning Declaration Group (LDG) and the UFHRD. This was held at Sheffield Hallam University on 3rd November 2000 to 'debate' in public the latest document produced by the LDG entitled ' A Declaration on Learning: a Call for Action'. The four members of the Learning Declaration Group who joined the panel for the debate were Professor John Burgoyne (Lancaster), Professor Ian Cunningham (Middlesex), Professor David Megginson (Sheffield Hallam) and Tom Boydell.

Bob Hamlin **Date: August 2002**

2.2 The Author's Curriculum Vitae

NAME: R G Hamlin

SCHOOL: Wolverhampton Business School

TITLE: Principal Lecturer in Human Resource Development

QUALIFICATIONS:
2001 MCMI Chartered Management Institute
2000 FCIPD Chartered Institute of Personnel & Development
1994 FIPD Institute of Personnel & Development
1987 MPhil, CNAA
1986 FITD, Institute of Training & Development
1985 MI Mgt Institute of Management
1971 MIPM, Institute of Personnel Management
1969 MITD Institute of Training & Development
1963 ARIC, The Royal Institute of Chemistry
1961 BSc (Hons) Chemistry Sheffield University

OCCUPATIONAL EXPERIENCE

2001-	Head of Department, Human Resources Department University of Wolverhampton Business School
1999-	HR Programmes Manager
1989-99	Divisional Manager, POM Division, University of Wolverhampton Business School
1992	Principal Lecturer, University of Wolverhampton
1991-92	Principal Lecturer, The Polytechnic, Wolverhampton
1985-91	Senior Lecturer, The Polytechnic, 'Wolverhampton
1984-85	Lecturer, The Polytechnic, Wolverhampton
1976-84	Group Training Manager, Coles Cranes Ltd
1972-76	Training Manager, Herbert Machine Tools Ltd
1967-72	Group Training Officer, British Industrial Plastics Ltd
1965-67	SAI Instructor, British Industrial Plastics Ltd
1961-65	Technical Officer, BIP Chemicals LTD

ORGANISATIONAL RESPONSIBILITIES
Head, Human Resources Department & HR Programmes Manager
Member School Research Committee
Course/Award Leader, M Sc in Human Resource Development
Member, University of Wolverhampton Graduate School, Postgraduate Taught Programmes Network

CURRENT COURSES TAUGHT AND NAIN TEACHING
Postgraduate Certificate in Human Resources
Postgraduate Diploma in Human Resource Development
Postgraduate Certificate in Human Resource Development
Diploma in Management Studies
Master of Business Administration
M Sc in Human Resource Development
MA in Human Resource Management
Management and Management Development; Trainer Training and Training Management.
Organisational Change and Development. Strategic HRD.
Strategic Human Resourcing, Management Skills Development

EXTERNAL EXAMINERSHIPS
2000-2003 London Guildhall University, MA Human Resource Strategies
MA Human Resource Strategies: MIRBIS-Moscow
2001-2003 Liverpool John Moores. MA in Change Management/MA in Leadership and Change..

CURRENT RESEARCH INTERESTS
Identifying the criteria of managerial effectiveness and managerial competencies.
Organisational and management culture change
Personal research into the application and use of management competency based development

PUBLICATIONS:
"The Criteria of Managerial Effectiveness in Secondary Schools" MPhil thesis, in CORE: Collected and Original Resources in Education, The International Journal of Educational Research in Mircofiche. (1988)

"The Contribution of Training to the Management of Change" (1990), with Stewart J D, Training and Development Journal. ITD Publications

"The Competent Manager in Secondary Schools" in Educational Management & Administration. Vol. 18, No 3 (1990)

"Approaches to Management Development in the UK - Impact and Implications of Recent Empirical Research" Vol. 11, No 5 (1990) with Stewart J D, Leadership and Organisation Development Journal. MCB University Press

"National Training Policies in Britain (1992) in Truelove S (Ed) A Handbook of Training and Development, London, Basil Blackwell

"National Training Policies in Britain (1995) in Truelove S (Ed) A Handbook of Training & Development, Second Edition, London, Basil Blackwell

"Competence-Based Qualifications The Case Against Change" (1992), with Stewart JD, Journal of European Industrial Training. MCB University Press

"Competence-Based Qualifications - The Case for Established Methodology" (1992), with Stewart JD, Journal of European Industrial Training, MCB University Press

"Competence-Based Qualifications - A Way Forward" (1993) with Stewart J D, Journal of European Industrial Training, MCB University Press

"Competence-Based Qualifications - A Reply to Bob Mansfield" (1994) with Stewart J D, Journal of European Industrial Training, MCB University Press

"Competence-Based Qualifications - Maintaining Forward Momentum" (1994) with Stewart J D, Competence & Assessment. Issue 24.

"The Trainer as Change Agent: Issues for Practice" (1996) with G F Davies in J D Stewart and J McGoldrick, (1996) Human Resource Development: Perspectives, Strategies and Practice. Pitman

"Training Trainers in Siberia" (1996) with K Gilbert and T Jagus. Success Now Vol 3 Issue 3.

"The Impact of Visionary Leadership and Strategic Research-led OD Interventions on Management Culture in a Public Sector Organisation" (1997) with M Reidy and J Stewart; University of Wolverhampton Business School. Working paper WP011/97 (ISSN No. 1363-6839)

"Effecting Change in Management Culture" with M Reidy (1997). Strategic Change: Vol 6 No 8 December 1997. Wiley

"Research into Managerial Effectiveness in Anglia Collection" M Reidy & R G Hamlin (1997). Changing Times Issue 3 July 1997. Internal Publication, HM Customs & Excise.

" Anglia Leadership: Precis of an Interpretation of the 'Anglia Leadership Questionnaire@" with M Reidy. An Internal Publication of HM Customs & Excise, July 1997.

"Changing the Management Culture in One Part of the British Civil Service through Visionary Leadership and Strategically Led Research-Based OD Interventions" with M Reidy and J Stewart. Journal of Applied Management Studies Vol. 6 No 2 December 1997

"Bridging the HRD Research-Practice Gap through Professional Partnerships" (1998) with M Reidy & J Stewart in Human Resource Development International Vol. 1 No 3 November 1998. Routledge

"Effecting Management Culture Change through Research-Based Management Development" (1999) with M Reidy & J Stewart in Management Development Forum. Empire State College, State University of New York Vol. 2 No 1.

"A Comparison of National Training Systems" (1999) in Stewart J: Employee Development Practice. London. Financial Times. Pitman Publishing.

"Organisational Change and Development: A Reflective Guide for Managers, Trainers and Developers. (2001) with J Keep and Ken Ash (eds.) Harlow: Financial Times Prentice Hall. Pearson Education Ltd, including the following chapters:

- "Introduction" with Ash, K & Keep, J. and
- "A review and synthesis of context and practice"
- "Managers, trainers and developers as change agents" with Davies, G.
- "Transformational and cultural change" (Editor)
- "Training and development initiatives" (Editor)
- "Towards research-based organisational change and development."
- "Epilogue" with Ash, K. and Keep, J.

"In support of research-based organisational change and development through professional partnerships", (1999) with Fiona Campbell, Margaret Reidy and Jim Stewart.. University of Wolverhampton, Occasional Paper OP002/00: ISSN 1464—1747

"In support of Evidence-Based Healthcare Management: an empirical X, study of management effectiveness within an NHS trust hospital" (2001) University of Wolverhampton Business School Working Paper WPP 004/01 ISSN 1363-6839

"Towards Evidence-based HRD Practice" (2001) in McGoldrick, J. Stewart, J. & Watson, S. (Editors) "Understanding Human Resource Development:: A research based approach.. London: Routledge.

"Towards Evidence-based Management and Research informed HRD Practice: An Empirical Study" International Journal of Human Resource Development and Management (IJHRDM).. Special Edition Vol. 2. Nos. 1/2 (2002)

"In Support of Evidence-based Management and Research Informed HRD through Professional Partnerships: An Empirical and Comparative Study". Human Resource Development International Vol 5 No 4 (Forthcoming 2002)

"A Study and Comparative Analysis of Managerial and Leadership Effectiveness in the National Health Service: an empirical factor analytic study within an NHS Trust Hospital" Health Services Management Research. Vol. 15 (2002)

CONFERENCE PAPERS & RESEARCH SEMINARS

"Training for Business Success", paper given at the News Society Annual Conference, April 1991

"Relevant Research in HRD", paper presented with J D Stewart and M Reidy at University Forum for HRD 2nd Annual Conference/Workshop. London 1996.

"Effecting Changes in the Management Culture for an Executive Unit of HM Customs & Excise through visionary Leadership and Strategically led Research Based OD Interventions", paper presented with Reidy M at Conference on the Strategic Direction of HRM, Nottingham Trent University (1996)

"Research and Cultural Change within an Executive Unit of a British Civil Service Department", paper presented with M Reidy and J Stewart at the BPS Annual Conference, Edinburgh (1997)

"Inter-play of research, training, and consultancy in generating new learning", workshop facilitated with J Stewart at 3rd Annual Conference of University Forum for HRD. London 1997.

"Creation of Research-Based Behavioural Models for Increasing Organisational Effectiveness" Paper presented with M Reidy at Conference on The Strategic Direction of HRM. Nottingham Trent University (1997)

"In Support of Evidence-Based Human Resource Development Practice", paper presented with J Stewart at Lancaster-Leeds Collaborative Conference: Emergent Fields in Management - Connecting Learning and Critique. Lancaster University (July 1998)

"Research-Based HRD Practice", paper presented with M Reidy & L Priddey at the IFTDO 27th World Conference: Revitalising HRD for the Next Millennium. Dublin (July 1998)

"Middle Management Effectiveness in Secondary Schools" paper presented with Eileen Myers at The BAM Annual Conference, Manchester Metropolitan University. (Sept. 1999)

"Towards evidence-based organisational change and development" with Ken Ash. Paper presented at The NHS-P Research Into Practice Conference, Birmingham, England. (Jan. 2000)

"Towards Evidence-based Management and Research – informed HRD Practice" a paper presented at the University Forum for HRD 2nd International Conference on HRD Research Across Europe, University of Twente, The Netherlands. (Jan 2001)

"Towards Evidence-based Management and Research – informed HRD Practice" through HRD Professional Partnerships : an Empirical Study. CIPD Professional Standards Conference. University of Keele (July 2001).

RESEARCH SUPERVISION
(Successful and Current):
MPhil/PhD Supervision on "Behavioural Competencies and Criteria of Managerial Effectiveness within Financial Sector Organisations in Britain.

MPhil/PhD Supervision on "Behavioural Competencies and Criteria of Managerial Effectiveness within UK Secondary Schools.

PhD Supervisor on "Behavioural Competence and Criteria of Managerial Effectiveness within the High Tech Industry"

MPhil/PhD Supervisor on "Behavioural Competences and Criteria of Management Effectiveness plus Meta Cognitive Skills within Acute and Community NHS Trust Hospitals.

MPhil/PhD Supervision on "Relationship between human resource management and productivity strategies within UK hotels"

PhD Supervisor on "Strategies Used by Middle Managers to Optimise their own Career Development."

MPhil/PhD supervisor on "Academic and Vocational Management Development within Small to Medium Sized Enterprises in The West Midlands".

PhD supervisor "Managing Change Agents in the Voluntary Sector"

MSc in HRD, MA in HRM, MBA and Undergraduate Dissertations/Project Reports, plus PG Diploma in HRD Management Reports.

PROFESSIONAL ACTIVITIES

Principal Tutor - Full time open courses for trainers and developers run on a national and international basis by Wolverhampton Business School, and closed trainer training and management skills development courses tailored to meet the specific needs of client organisations

Ex-Officio Member of CIPD Wolverhampton & Black Country Branch Committee

University of Wolverhampton Representative on the University Forum for HRD (incl its Research Group)

University of Wolverhampton Representative of EURESFORM (Paris)

External Validation - MSc in Human Resource Development - Nottingham Trent University, 1993

External Validation - BA (Hons) Human Resource Management - Southampton Institute 1997

External Validation - MA in Managing Human Resources - Southampton Institute 1998

External Validation - MA in Change Management/MA in Leadership & Change - Liverpool John Moores University 1998

CONSULTANCY:

United Kingdom

Designing and facilitating in-house management skills development programmes for client organisations in the private and public sectors. Clients have included for example: Central ITV, Britannia Building Society, Glynwed Tubes & Fittings Ltd, Midland News Association, Goodyear, Alfred McAlpine, Mothercare (UK) Ltd, Shropshire County Council, Wolverhampton MBC Social Services, Worcester and Hereford Chamber of Commerce Training. Precision Colour Printing, NHS Executive. Advising and supporting internal research efforts on managerial effectiveness and complaints handling, and also research-based OD interventions within HM Customs & Excise (Anglia Collection): heading an internal research project on managerial effectiveness with The Royal Shrewsbury Hospitals NHS Trust.

International:

Carrying out consultancy work and training
management trainers and academics in Siberia as part of
the TACIS Tyumen Training Project for the Russian Oil & Gas Industry
Contributor to the Russian President's Management Training Initiative.
Developing a common European standard and a 'Passport of Competence' for HRD Practitioners through the EURESFORM Network of Universities. (A Leonardo funded project)

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